

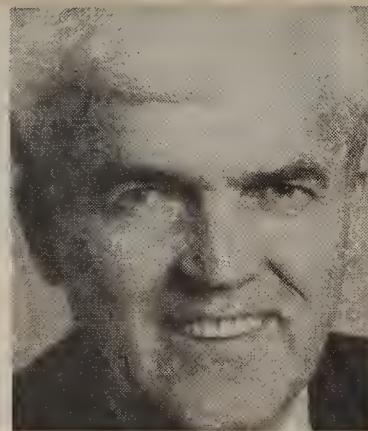
# **ACCOUNTABILITY**

# **RESPONSABILITÉ**

# **PUBLIQUE**

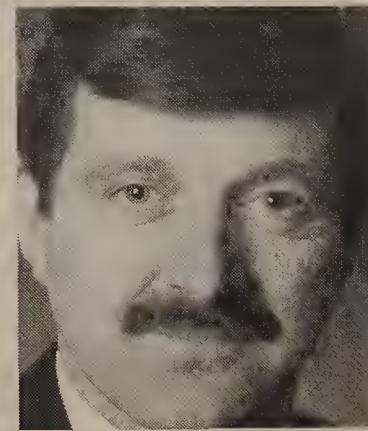
CAUT Bulletin Special Edition  
Édition spéciale du Bulletin de l'ACPPU

May 1996 mai



**By Whom?  
To Whom?  
For What?  
What Cost?**

**Qui?  
Devant qui?  
Pourquoi?  
À quel prix?**



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What Does it  
Mean for Canadian  
Universities?

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## Avant-propos

# L'obligation de rendre compte : les universitaires en savent quelque chose

Par Joyce Lorimer

**L'**OBLIGATION DE RENDRE COMPTE EST l'expression à la mode des années 1990. Le concept est tout à fait sensé mais il a perdu de sa crédibilité à cause des abus auxquels il donne lieu. Dans les milieux collégiaux et universitaires, il a généralement servi de prétexte aux gouvernements pour faire oublier des compressions budgétaires irresponsables et l'échec de stratégies de création d'emploi. Les fonctionnaires l'ont adopté pour motiver la création de bureaucraties centralisées et hiérarchisées qui s'ingèrent dans l'autonomie des universités. Certains administrateurs universitaires et collégiaux s'en servent pour justifier leurs tentatives d'exclure les professeurs, le personnel et les étudiants d'une direction transparente, collégiale et responsable.

Bien qu'elle ait perdu quelque peu de sa valeur, la notion d'obligation de rendre compte est néanmoins primordiale pour la réalisation de la mission des universités au Canada. Les établissements d'enseignement postsecondaire sont subventionnés par l'État et il doit continuer d'en être ainsi. Ces établissements visent à offrir un enseignement supérieur de haute qualité à tous les citoyens qui peuvent en profiter et à encourager la libre quête de la recherche dans l'intérêt public. Les personnes qui ont la chance de travailler au sein du remarquable réseau universitaire canadien se doivent de le préserver et d'en améliorer la qualité et l'accessibilité parce qu'il est un bien public. Ces personnes doivent également rendre compte de manière transparente de son mieux-être à la population qu'il dessert.

Les universitaires sont formés pour faire des analyses poussées, des critiques exhaustives et pour susciter de vigoureux débats lorsqu'ils examinent des données, des idées et des systèmes. On peut et on doit utiliser ces mêmes outils pour établir des méthodes d'évaluation adéquates des responsabilités des universités canadiennes, afin d'évaluer réellement ce qu'est une université, et non pas des statistiques dénuées de sens et conçues pour servir les intérêts particuliers de parti politiques ou de groupes de pression donnés du secteur des entreprises.

Le présent numéro du *Bulletin* révèle que les universités doivent rendre compte au grand public de diverses manières. Elles doivent d'abord être transparentes pour que le public puisse examiner minutieusement leur gestion. Elles doivent également exiger des normes élevées, et s'attendre à les obtenir,

en enseignement et en recherche, ce qui comprend, comme Ken Field le mentionne, des bibliothèques de grande qualité et des services d'information électronique.

Toutefois, à l'instar de Jeffrey Simpson, du *Globe and Mail*, je suis sceptique lorsque les comptables et les soi-disant spécialistes en productivité commencent à vouloir diriger les programmes d'éducation. On ne gagne pas grand-chose à vouloir transformer nos universités en usines à diplômes dotées de techniques de production ressemblant à des transporteurs à courroie qui, en dernière analyse, donneront des produits identiques sans imagination.

Un comité spécial de l'ACPPU, présidé par Bill Bruneau, se penche depuis deux ans sur le dossier des indicateurs de rendement. Il signe un article dans le présent numéro sur l'utilisation des indicateurs de rendement et sur les abus auxquels ils donnent lieu, ainsi que sur l'ébauche d'un projet d'énoncé de principes de l'ACPPU sur la question. L'ACPPU a également commencé à étudier deux sortes d'accord: l'accord des établissements d'enseignement par rapport à des programmes particulier et l'accord des professeurs d'université.

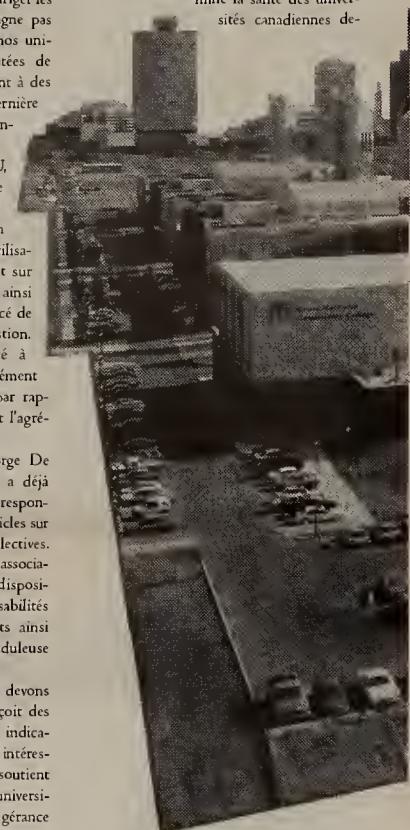
Comme le fait remarquer George De Benedetti, le personnel universitaire a déjà fait de grands progrès en matière de responsabilité publique en prévoyant des articles sur le sujet dans les conventions collectives. L'ACPPU recommande sans cesse aux associations de professeurs de négocier des dispositions reliées aux droits et aux responsabilités professionnels, aux conflits d'intérêts ainsi qu'à la fraude et à la conduite frauduleuse dans la recherche.

En tant qu'universitaires, nous devons nous assurer que le grand public reçoit des comptes en ce qui concerne d'autres indicateurs importants de rendement qui intéressent moins nos élus. Comme le soutient Roger Gannon, les administrations universitaires doivent être responsables de la gestion de la liberté universitaire contre les personnes qui voudraient la limiter ou la dévaluer. De même, selon Jennifer Bankier, les universités doivent être responsables de la prestation d'un milieu pédagogique et de travail au sein duquel tous les professeurs, employés et étudiants peuvent travailler au mieux de leur capacité sans craindre d'être harcelés ou d'être victimes de discrimination.

Un journaliste du réseau anglais de Radio-Canada a fait remarquer récemment

que les politiciens fédéraux et provinciaux exigeaient des autres de rendre des comptes mais dissimulaient inutilement l'information sur leurs propres activités derrière un épais secret.

Les politiques de financement des gouvernements fédéral et provinciaux ont miné la santé des universités canadiennes de-



puis vingt ans. Les élus doivent mettre en pratique ce qu'ils prônent et créer des indicateurs de rendement transparents et responsables pour leurs politiques en matière d'éducation. Et s'ils devaient le faire, je suppose qu'ils constateraient que leurs pratiques ne sont pas à la hauteur de leurs énoncés de mission ou, à la vérité, d'aucune évaluation raisonnable de l'intérêt public. ■

## On the Cover ■ Couverture

The Council of Ministers of Education, Canada — Accountability for Higher Education Policies

Le Conseil des ministres de l'éducation, Canada doit rendre compte de ses politiques en enseignement supérieur.

1 Paul Ramsey British Columbia	6 Pauline Marois Québec
2 Jack Ady Alberta	7 Roger Grimes Newfoundland
3 Robert Mitchell Saskatchewan	8 Jeannie Lea Prince Edward Island
4 Linda McIntosh Manitoba	9 John MacEachern Nova Scotia
5 John Snobelen Ontario	10 Roly J. MacIntyre New Brunswick



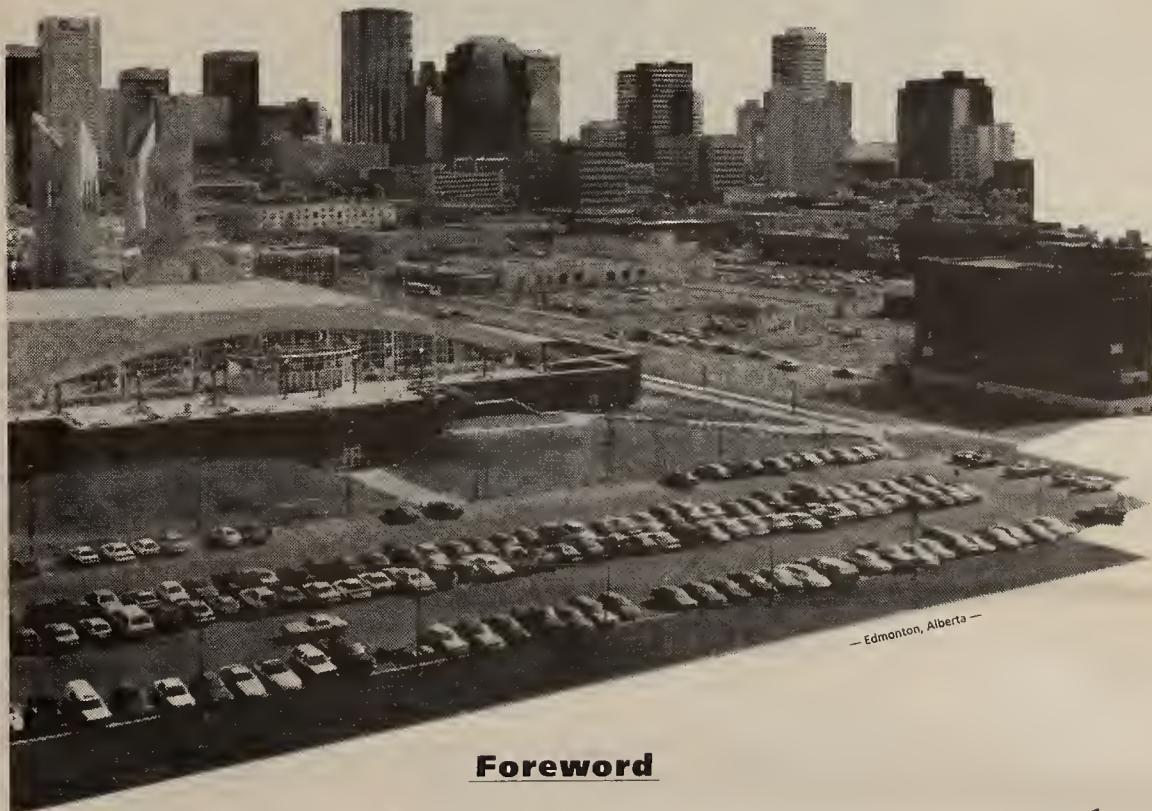
## Accountability in Canadian Education L'imputabilité dans l'éducation canadienne

The Council of Ministers of Education, Canada (CMEC) is holding the second National Consultation on Education, "Accountability in Canadian Education: Are We Getting What We Value?", at Grant MacEwan Community College in Edmonton May 9 to 12. This conference will bring together some 300 delegates from stakeholders, business, labour and from the public.

This special edition of the CAUT Bulletin discusses various aspects of accountability in higher education. There will be a full report about the CMEC conference in the September issue of the Bulletin.

Du 9 au 12 mai, le Conseil des ministres de l'Éducation du Canada tient sa deuxième consultation nationale sur l'éducation au Collège communautaire Grant MacEwan d'Edmonton. Le congrès réunira quelque 300 délégués représentant des groupes d'intérêt, des gens d'affaires, des syndicalistes et des particuliers. Le thème général est l'obligation de rendre compte.

Le numéro spécial du Bulletin de l'ACPPU traite de divers aspects de l'obligation de rendre compte dans le domaine de l'enseignement supérieur. Un rapport complet sur le congrès du CMEC sera publié dans le numéro de septembre du Bulletin.



### Foreword

# Accountability — No Stranger to Academics

By Joyce Lorimer

ACCOUNTABILITY IS THE BUZZWORD OF the 1990s and, although a perfectly sensible concept, it has lost some of its credibility through overuse and abuse. In university and college circles governments have commonly adopted it as an excuse for irresponsible budget cuts and as a cover for failed job strategies. Some civil servants have embraced it as rationale for creating new top-heavy centralized bureaucracies to interfere in university autonomy. For some university and college administrators it provides a perverse justification for attempts to exclude faculty, staff and students from transparent and accountable, collegial governance.

Even though its currency has become somewhat devalued, accountability is, nevertheless, central to achieving the mission of universities in this country. Canada's post-secondary institutions are and should remain publicly funded institutions. They are intended to provide a high quality post-secondary education to all citizens who are able to benefit from it, and to foster the free pursuit of research in the public good. Those who are privileged to work in Canada's out-

standing university system have a duty to preserve and enhance its quality and accessibility, as a public good, and to be openly accountable for its well-being to the public they serve.

Academics are trained to bring rigorous analysis, exhaustive criticism and vigorous debate to the examination of data, ideas and systems. These same tools can and must be used to determine appropriate accountability measures for Canadian universities — to achieve true measures of what a university is about — not meaningless statistics designed to serve the special interests of individual political parties or particular corporate sector lobby groups.

This issue of the Bulletin suggests that universities need to be accountable in a wide variety of ways to the general public. First of all they must be open and transparent to public scrutiny. They must also demand and expect high academic standards in teaching and research, which includes, as Ken Field notes, high quality libraries and electronic information services.

Like Jeffrey Simpson of *The Globe and Mail*, however, I am sceptical when the accountants and self-styled 'efficiency experts' start

to want to run education programs. There is little to be gained from turning our universities into degree mills with conveyor-belt production techniques which ultimately produce unimaginatively identical products.

An ad hoc committee of CAUT, chaired by Bill Bruneau, has spent the last two years studying the question of performance indicators. This issue of the Bulletin contains his discussion of the use and misuse of performance indicators as well as the first draft of a proposed CAUT policy statement on the subject. CAUT has also begun to examine two forms of accreditation — that of institutions as opposed to specific programs, and the accreditation of university teachers.

As George De Benedetti notes, academic staff have already made great strides towards public accountability through the articles in their collective agreements. CAUT has consistently recommended that faculty associations negotiate provisions relating to professional rights and responsibilities, conflict of interest and fraud and misconduct in academic research.

As academics we must also make sure the general public receives an accounting of other important performance measures

which are of less interest to elected politicians. University administrations must, as Roger Gannon argues, be accountable for their stewardship of academic freedom against those who would limit or devalue it. Similarly, as Jennifer Bankier writes, they must be accountable for the provision of an academic and working environment in which all faculty, staff and students can work to the best of their ability without fear of harassment or discrimination.

As a journalist on the CBC remarked in a recent commentary, federal and provincial politicians routinely call for public accountability in others but shroud the information about their own activities in layers of unnecessary secrecy.

The health of Canada's universities has been adversely affected for the last two decades by the funding policies of federal and provincial governments. Elected politicians must practice what they preach and create open, accountable, performance measures for their own educational policies. Were they to do so, I suspect they would find their practices do not measure up to their mission statements or, indeed, to any reasonable assessment of the public interest. ■

# **Accountability — What Does it**

### **Administrations Are Accountable for Academic Freedom**

By Roger Gannon

MUCH HAS BEEN WRITTEN AND SAID in recent years by politicians, university administrators and academics about the accountability of academics in publicly-funded institutions. But there has been much less said about the financial, administrative and academic accountability of university administrations in publicly-funded institutions.

Let us here redress this imbalance by looking at management accountability as it relates to maintaining academic freedom.

In October 1995, Peter Gzowski discussed university problems with four university presidents and one principal. All, without exception, spoke highly of the need for academic freedom. However, a reading of the transcript of that radio conversation indicates that none spoke in any detail about the means by which university administrators would ensure the survival of this vital principle.

Experience indicates that the vast majority of university administrations believe in academic freedom. But there are a few which fail to uphold the academic freedom of their faculty. Some do not fully understand what academic freedom means in practice; others do not realize that the principle needs to be actively supported on a daily basis, both in word and in deed. Still others from time to time get cold feet when the going gets rough politically and/or the prospect looms of a large outlay of cash. And a smaller, but still significant, number of administrations not only fail to uphold academic freedom but actively engage in activities inimical to it, again usually for financial reasons. Several illustrations:

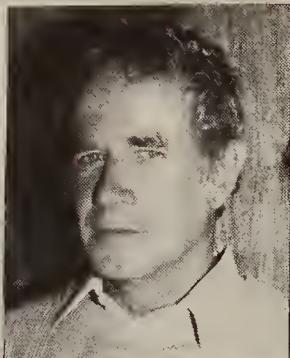
Recently, an associate dean wrote to a departmental chair warning her and her departmental members of getting involved in classroom discussions of the implications of recent budget cuts on a "decent education."

At the same university, another associate dean refused to sign an SHRCC grant proposal because, he argued, it was not in conformity with the research priorities of the institution. After a faculty outcry, protests from the research team involved, and a public disavowal by the dean of the faculty in question, the matter was resolved. But by this time the deadline for grant submissions had passed and the proposal was thus effectively killed.

At another university, a dean (who did not have such a right) refused to sign a grant proposal because he didn't think it "up to much" and because he wanted to demonstrate to the professor his concern re his teaching!

University administrations should consider a few basic principles for ensuring the maintenance of academic freedom and appropriate management accountability. University administrations should:

- provide an atmosphere in which faculty know from experience that they can pursue their research, teaching and scholarly



*CAUT has long been committed to the principle of accountability in Canadian universities. CAUT's Standing Committee Chairs (above — clockwise from top left: Roger Gannon, Ken Field, George De Benedetti & Jennifer Bankier) highlight this principle as they discuss exactly what accountability means for academic freedom, academic librarianship, collective bargaining & employment equity.*

activities without vexatious interference from the public at large, university administrators or other faculty. This would include, for example, making it clear that administrations will stand behind faculty who are sued while going about their scholarly, research and community work as prescribed in handbooks/agreements etc. (It is more than a little ironic that the same university administrations which take great pride in the publicity obtained by their "star" academics run for cover when it comes to defending a faculty member who has earned not "good" publicity but "bad" publicity while carrying out his or her scholarly and contractual duties in a perfectly appropriate manner);

- negotiate an adequate, legally-entrenched clause in collective agreements or handbooks re academic freedom, together with the right to efficient grievance and arbitration procedures. In this regard, the CAUT model clause on academic freedom is a particularly good one;

- negotiate effective financial exigency clauses and redundancy articles which allow for orderly and fair closures of departments or faculties (articles which cannot be used to

"pick-off" unpopular individuals) and show due respect for tenure, the vital legal underpinning of academic freedom;

- provide means by which faculty grievances, whatever their nature, can be heard in a timely fashion with consistent regard for considerations of due process, including the right of appeal. Lack of such a process, or tolerance of a severely-flawed procedure, may in effect act as an impediment to the academic freedom of a faculty member. In a recent Ontario case, the misuse and abuse of an already-flawed procedure has led to severe mental illness for a member, who in effect has been denied his contractual right to pursue his research, with the result that, among other things, he will have an uphill battle gaining tenure and the freedom to pursue a scholarly career;

- protect academia against the corporate agenda to determine the curriculum, since a slavish acceptance of (some might argue any acceptance of) such an agenda is a very real threat to academic freedom;

- guard against viewing the "student consumer" as a determining factor in the setting of university and academic policy. Although students are one of a number of

important constituencies to be considered in the setting of academic policy, they are not the only one. Administrations must not lose sight of the primary role that faculty have had and must continue to have in the determination of such policy;

- have in place some reporting mechanism by which the university community can see how many complaints or grievances have alleged violations of academic freedom and how many have been sustained. Perhaps the mechanism should be designed to delineate the causes of those abuses that were shown to have been real. In this regard, it would be useful if universities could compare notes for possible remediation strategies;

- negotiate with faculty associations provision for regular, independent, reviews of management performance as it applies to all aspects of university life including academic freedom;

- hold regular management/faculty seminars for those most likely to be faced with decisions having implications for academic freedom, e.g. deans, chairs and those on tenure committees and hiring committees.

With all of the above in place, academic freedom would be well on its way to a healthy and continuing future and the Academic Freedom and Tenure Committee would have far less work to do. ■

(Roger Gannon is chair of the CAUT Academic Freedom and Tenure Committee.)

### **Les administrations sont responsables de la liberté universitaire**

ON A BEAUCOUP PARLÉ DE L'OBIGATION de rendre compte des universitaires dans les établissements financés par les deniers publics mais moins de celle de l'administration de ces mêmes établissements. Qu'en est-il de cette obligation de rendre compte face au maintien de la liberté universitaire?

Il semble que la grande majorité des administrations universitaires croient en la liberté universitaire mais peu y donne son soutien : soit que l'on ne comprenne pas sa signification, soit que l'on lui nuise pour des raisons financières.

Les administrations universitaires devraient respecter quelques principes élémentaires pour garantir le maintien de la liberté universitaire et une obligation de rendre compte suffisante de la part de la direction. Voici quelques-uns de ces principes: offrir aux professeurs un milieu où ils peuvent poursuivre leurs activités de recherche et d'enseignement sans craindre l'ingérence du public, des administrateurs ou d'autres professeurs; négocier une clause dans les conventions collectives ou les guides sur la liberté universitaire ainsi que le droit à des procédures efficaces de règlement de grief et d'arbitrage; négocier des articles sur l'urgence financière et l'excédent de personnel qui permettent la fermeture en douceur de départements et de facultés; protéger les universités contre la tendance du secteur privé à déterminer les programmes d'études; négocier avec les associations de professeurs une disposition prévoyant des examens indépendants du rendement des administrateurs. ■

## Accountability

# Mean for Canadian Universities?

### Accountability in Canadian University Libraries

By Ken Field

UNIVERSITY LIBRARIES AND THE SERVICES they offer are an intrinsic part of the missions of universities. They house and provide access to the resources which are integral to the support of teaching and research. They are the places in which students learn of the tools necessary to build a foundation in their discipline and in which the fruits of the labours of research are made available. Academic librarians are the teachers and researchers in university libraries. It is they who teach the students how to use the tools necessary for learning. It is also they who explore and experiment with new means of making the accumulated knowledge of mankind accessible.

University libraries in Canada have been subjected to numerous budgetary pressures over the last decade. Among these are, the rising costs of serials, decreasing financial support from their institutions, the need to keep up with the seemingly relentless advances in computer and information technology, the need to slow the deterioration of existing library collections and the provision of space for collections. Yet university libraries have managed to maintain reasonable levels of support to their constituencies in the face of this barrage of increasing costs and decreasing funding. However the erosion of the quality of the services and resources is beginning to cut deep.

Over the past decade the rising cost of acquiring the resources necessary to support teaching and research has far outstripped increases in library acquisition budgets. Double digit inflation has become the norm in the serials industry. This is particularly evident in the scientific, technical and medical (STM) journals where between 1984 and 1994 the average price increase was a staggering 172 per cent for periodicals published in the U.S. Few if any academic library collections are made up entirely of STM journals and this dramatic increase is tempered somewhat by the relatively small increases in journal prices

in the arts, humanities and social sciences. Nonetheless for the same period for periodicals published in the U.S. spanning all disciplines the average increase was 146 per cent. By any measure, increases of this magnitude place tremendous pressure on the ability of libraries to provide resources to their users.

Library acquisition budgets in Ontario rose by 22 per cent over the 1984-94 period. It is easy to see this comes nowhere near addressing inflation of 146 per cent. Academic libraries are being forced to carry out massive serial cancellation programs. The University of British Columbia, for instance, has cancelled over 5000 subscriptions worth \$1.3 million over the past 4 years in order to not only stay within their budget allocation but also to maintain an appropriate balance between monographs and serials. They are not alone in this as most libraries try to contend with increasing prices.

Advances in the electronic dissemination of information are also having an impact on the ability of academic libraries to fulfil their role in universities. Over the past 5 years the Internet and the World Wide Web (WWW) have become increasingly popular means of disseminating information.

The use of electronic technology for the dissemination of information is still in its infancy. Issues like; how will libraries access and archive material published electronically, are universities prepared for the substantial capital costs of migrating from paper-based systems to electronic systems, and how long will libraries have to maintain paper-based systems alongside electronic systems are just now being addressed. The financial pressure being felt by academic libraries makes this more difficult.

As the costs of acquiring necessary resources rise and increases to library budgets fall short of the amounts required to maintain current collections, the preservation of existing collections is neglected. The deterioration of library collections is the inevitable result of much use and the problem of acid paper. The decay of paper with acid as a component is dramatic and swift with books becoming unusable within about 50 years of publication. The costs associated with this are not being factored into the equation of the continuing viability of academic library

collections. In the very near future vast amounts of knowledge, 50 per cent of current university collections by some estimates, will be lost.

In addition to pressures on materials budgets there is also pressure on academic librarians and staff in libraries. Institutions continue to look for ways of reducing academic and staff salary budgets by means of attrition, redundancy, etc. Filling positions which are vacated for these or other reasons is becoming less frequent thus placing greater amounts of work on those who remain. Increases in workload have a number of negative effects like reduction of services, degradation of the quality of services and lowering of morale.

It is in this environment that calls for greater accountability are being heard from provincial governments. It appears that accountability is equated with reducing costs and being more efficient. This is fine if one has a system which is squandering resources while being accountable to no one. I suggest that there is such a dearth of resources for libraries that simply trying to maintain levels of support for teaching and research requires every precious penny to be used wisely.

Academic libraries by the nature of their role in universities must be accountable to the communities they serve. Every time a student enters a library to research a paper topic, do required reading or complete an assignment, or when faculty draw up course syllabi or use the library to track research they are evaluating the resources and services of the library. If the library is unable to meet their needs they tend to be very vocal.

For the moment, governments at the provincial and federal levels provide the greatest percentage of funding to universities. They do this because universities provide both social and economic benefits to communities, provinces and the country. Even so, levels of funding from government continue to drop and as a result the quality of education and in particular of academic libraries has been diminishing. One might ask therefore to whom is government accountable for the erosion of something so important to our society? ■

(Ken Field is Chair of the CAUT Librarians Committee)

### La responsabilité publique des bibliothèques d'université

LES BIBLIOTHÈQUES UNIVERSITAIRES ET les services qu'elles offrent font partie intégrante de la mission des universités. Leurs ressources soutiennent l'enseignement et la recherche. Elles mettent à la disposition d'autrui le savoir mondial.

Au cours des dernières décennies, les bibliothèques d'université n'ont pas échappé à la flambée des coûts des périodiques ni au coupure budgétaire. Elles ont tout de même réussi à offrir un niveau raisonnable de services. Depuis dix ans, les coûts d'acquisition des ressources nécessaires au soutien de l'enseignement et de la recherche ont dépassé les budgets des bibliothèques. Le phénomène est particulièrement évident dans le cas des revues scientifiques, médicales et techniques. Devant de telles hausses, les bibliothèques n'ont d'autre choix que d'annuler massivement des abonnements à des périodiques.

Par ailleurs, l'automatisation de la diffusion de l'information a fait des bonds de géant et a influé sur la capacité des bibliothèques à remplir leur rôle. Bien que l'Internet et le W3 soient devenus des moyens très populaires de communiquer l'information, la diffusion électronique de l'information en est encore à ses premiers balbutiements et les compressions budgétaires rendent plus difficile la transition.

Les compressions budgétaires touchent également le personnel. Les effectifs sont réduits, ce qui diminue la qualité des services et augmente la charge de travail. Dans un tel contexte, l'obligation de rendre compte, exigée par les gouvernements provinciaux, se traduit par des coûts réduits en retour de plus d'efficacité.

De par leur nature, les bibliothèques doivent rendre des comptes aux collectivités qu'elles desservent. Les gouvernements, quant à eux, dont les subventions aux universités diminuent constamment, entraînent du coup une baisse de la qualité de services si importants à notre société, à qui doivent-ils rendre des comptes? ■

### The Librarian: A Database Software to Organize and Manage Your Personal Library

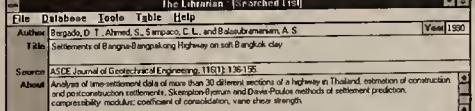
*The Librarian* lets you get organized keeping track of your collection of references. You can identify immediately if you have a copy of an article. No more duplicate copies! No more frustration locating the file or folder for your acquired personal copy of any reference! *The Librarian* transforms a frustrating task of reference management into a user-friendly and enjoyable exercise. This Windows-based database software can be used to organize as well as to develop your own database of referential materials. The major features of *The Librarian* are:

- You can build a database of journal and conference articles of your interest which can be itemized according to the journal/conference titles, and can be searched for one or more items at a time.
- You can also develop a searchable electronic library of your reports, proposals, books, theses, patents, slides, art works, photographs, computer software, drawings, computer diskettes, personal communications, audio cassettes, video cassettes, etc.
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# Accountability — What Does it

### *Accountability is the Heart & Soul of Collective Agreements*

By George J. De Benedetti

CAUT FIRST BECAME INVOLVED IN collective bargaining in the late 1960s, and today more than half of the 28,000 members are covered by collective agreements negotiated under labour law. Has then the unionization of professors and librarians made academic staff less accountable for their performance?

CAUT has always accepted the principle that academic staff are accountable for their performance. This accountability is reflected in the many collective agreements that have been negotiated between the Board of Governors and the academic staff at Canadian universities.

Most collective agreements include an article that guarantees the freedom of expression, the freedom to pursue research and publicize the results, the freedom to criticize the employer and the union, and, among other freedoms, the freedom from institutional censorship.

Such rights are granted by university employers because they recognize that the good of society is served by the free search for knowledge and its free exposition. In return, professors and librarians have agreed, through collective agreements, to exercise these freedoms in a responsible way.

Virtually every one of these collective agreements specifies the professional responsibilities of academic staff as some combination of three general components: one is teaching, or the performance of duties in the operation of the library, the second is research, professional, or creative activity, and the third is service to the university, or to the wider community. Such articles also tend to limit the amount of outside professional activities of academic staff, so as not to interfere with their primary contractual duties.

Other articles hold professors and librarians accountable through mandatory and extensive performance evaluations. Collegial and peer review processes in evaluating academic staff for academic appointments, tenure and promotion, and the granting of sabbatical leaves have carried over into collective

agreements. Such evaluations are especially critical at times of tenure and promotion, and some agreements specify annual evaluations.

There are few professions where members are so regularly and systematically scrutinized in their performance by so many. Performance reviews of academics not only include assessments from superiors, as in other sectors, but also include reviews from colleagues, students, and experts from outside the university community.

If academic staff members fail to meet their professional responsibilities in a satisfactory manner, they can be disciplined and eventually dismissed under the collective agreement.

More recently, CAUT has developed a model clause on fraud and misconduct in academic research and scholarly activity, and faculty associations have taken the lead in introducing such articles in collective agreements. These articles deal with issues of fabrication, falsification, plagiarism, failure to recognize by due acknowledgment the substantive contributions of others (including students), and the unauthorized and intentional diversion of the research funds of the university, federal or provincial granting councils, or sponsors of research.

As well, such articles deal with the necessity to reveal material conflict of interest to sponsors and those commissioning work, or when faculty members are asked to test products for sale or for distribution to the public, and the necessity to reveal to the university employee any material financial interest in a company that contracts with the employer to undertake research.

The tragedy at Concordia might have been avoided if the university administration had accepted the proposal of the faculty association to include an article on fraud and misconduct in the collective agreement before the Fabrikant incident. Today, partly due to events at Concordia and the pressure of the various granting councils, university administrations are more willing to accept such articles in collective agreements.

This is an area in which faculty associations have led the way in self-imposing restrictions on the behaviour of their members. The collective agreement is a good vehicle to codify these guidelines and procedures.

CAUT has been instrumental in developing

olicies and model clauses in other areas such as sexual harassment and equity considerations. Often, faculty associations are pressing university administrators to adopt such policies in collective agreements.

Currently, the Collective Bargaining and Economic Benefits Committee is drafting a revised model clause on suspension, discipline, and dismissal. The value of progressive discipline is that its application can correct behaviour before the situation escalates to the point where university administrators have to consider outright dismissal as a solution. The introduction of such an article in collective agreements can stem public criticism that faculty members can only be dismissed for the gravest of offenses and cannot be disciplined for lesser offenses.

In an era of reduced government funding for universities, governments and university administrators are introducing performance indicators in the university environment. Such indicators affect the terms and conditions of employment of professors and librarians. They can influence tenure and promotion decisions, salaries, career progress increments, departmental or unit budgets, etc.

Faculty members and librarians are not opposed to performance indicators when they are consistent with the goals and mission of the university, and CAUT holds that the parties should negotiate such indicators in a collective agreement.

Articles on performance indicators, like other articles in a collective agreement, are subject to proper grievance and arbitration procedures. Such procedures exist in collective agreements to protect both the employer and the academic staff member from arbitrary and unjust action: the employer and the union each has the right to grieve.

The collective bargaining process has not diminished faculty responsibility at universities. On the contrary, collective agreements have made it possible to spell out these responsibilities more explicitly, and the remedial action that employers can take if professors and librarians do not fulfil their responsibilities. As well, the grievance and arbitration procedures in collective agreements ensure redress from arbitrary action. ■

(George J. De Benedetti is Chair of the CAUT Collective Bargaining and Economic Benefits Committee.)

### *L'obligation de rendre : au cœur des conventions collectives*

ENGAGEMENT DE L'ACPPU DANS LA négociation collective remonte aux années 1960. L'ACPPU a toujours accepté le principe selon lequel les universitaires sont responsables de leur rendement. Cette obligation de rendre compte se reflète dans les conventions collectives du personnel universitaire. La plupart prévoit un article garantissant la liberté d'expression, la liberté de poursuivre des recherches et d'en publier les résultats, la liberté de critiquer l'employeur et le syndicat et la liberté d'échapper à la censure de l'université. Les employeurs accordent ces droits parce qu'ils reconnaissent que la société profite de la libre quête du savoir et de sa libre diffusion. Les professeurs et les bibliothécaires ont accepté en retour d'exercer ces droits de manière responsable.

Les responsabilités des universitaires sont énoncées dans presque toutes les conventions collectives. Il s'agit de l'enseignement, ou le travail dans une bibliothèque, de la recherche ou de l'activité de création, et le service à la collectivité.

D'autres articles obligent les professeurs et les bibliothécaires à rendre des comptes au moyen d'évaluations complètes de leur rendement. L'évaluation par les pairs est partie prenante de ce processus. Si les universitaires respectent mal leurs responsabilités professionnelles, ils peuvent faire l'objet de sanctions disciplinaires, voire être congédiés, en vertu de leur convention collective.

L'ACPPU a élaboré une clause modèle sur la fraude et la conduite frauduleuse dans la recherche et les activités intellectuelles. Des associations l'ont incorporée dans leur convention collective sous la forme d'articles sur le plagiat, les conflits d'intérêts, etc.

La question des indicateurs de rendement prend de plus en plus d'importance en ces temps d'austérité. Ces indicateurs doivent toutefois être compatibles avec les objectifs et la mission des universités. Négociés dans une convention collective, ils donnent à l'employeur et au syndicat le droit de se protéger contre des actions injustes. ■

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# Mean for Canadian Universities?

### **Equity — More Questions than Answers**

By Jennifer Bankier

A CRITICAL MEASURE OF THE EXCELLENCE of Canadian universities is how well they facilitate the full development of the talents of all Canadians. Canada is a pluralistic society made up of many diverse communities with differing, legitimate perspectives and concerns.

In the past, access to Canadian universities has been restricted for people from many sectors of Canadian society for historic reasons that have nothing to do with the inherent abilities of the members of these disadvantaged groups. Members of these equity-seeking communities are now challenging these historic patterns of exclusion.

It is imperative that effective equity accountability measures be developed to allow both governments and members of equity-seeking communities to determine the progress (or the lack thereof) made by Canadian universities toward the goals of accessibility, equality and non-discrimination. Some suggestions follow.

**Remedies for Discrimination** — Does the university have anti-discrimination policies with mechanisms to handle complaints of discrimination from students and staff? Do these procedures provide remedies for discrimination based on race, creed, colour, ancestry, citizenship, ethnic or national origin, sex, marital status, family relationship, sexual orientation, age, physical or mental disability or illness, clerical or lay status, language, place of residence, political or religious affiliation, belief or practice, personal or social life style or behaviour?

How many complaints of discrimination have been received under internal university anti-discrimination mechanisms and by the provincial Human Rights Commission with respect to this university for each year since 1970? What were the results of these complaints and what remedial action was taken if the complaints were upheld?

**Employment Equity** — What is the overall percentage representation of members of the various equity-seeking communities among all undergraduate and graduate students attending the university? What percentage increase/decrease has there been over the period since 1970? What are the equivalent percentages for each academic unit? How do these percentages compare with national and provincial averages? What percentage of academic units equal or exceed the availability data for students from equity-seeking groups in their local community and for Canada as a whole?

What percentage of academic units a) equal or exceed the availability data for qualified personnel from equity-seeking groups in their discipline, and b) have an action plan which conforms to equity employment guidelines developed by CAUT or provincial faculty associations for recruiting and appointing academics and support staff from equity-seeking groups? Does the university have an action plan for recruiting members of equity-seeking groups to senior administrative positions?

What are the results of a comparative analysis of salaries and benefits members of historically disadvantaged and historically advantaged groups (e.g. women and men)

with similar levels of experience? What attempts have taken place since 1970 to rectify anomalies in the compensation of members of historically disadvantaged groups? When the results of these rectification attempts are measured have they been successful in achieving equal pay for work of equal value?

Do university policies for appointment, reappointment, tenure and promotion of academics, support staff and administrators specifically address the legitimacy of different career patterns?

What percentage of employees leaving the university during the past two years are members of equity-seeking groups? How does this departure rate compare with the proportion of each group in the total university population? Does the university have a system of exit interviews to determine why members of equity-seeking groups leave the university?

Has the university conducted surveys of its staff during the past two years to determine the views of members of historically disadvantaged groups with respect to the equity climate and working conditions? What were the results of these surveys?

**Educational Equity** — What is the overall percentage representation of members of the various equity-seeking communities among all undergraduate and graduate students attending the university? What percentage increase/decrease has there been over the period since 1970? What are the equivalent percentages for each academic unit? How do these percentages compare with national and provincial averages? What percentage of academic units equal or exceed the availability data for students from equity-seeking groups in their local community and for Canada as a whole?

Studies, Aboriginal Studies, Black Studies), and, at what level, i.e. undergraduate or graduate? What percentage is the budget of each such department of the average of all academic departmental budgets since the inception of the particular program? What is the equivalent percentage of the average of the five smallest academic departmental budgets? What percentage is support for all such programs of the total university budget for each year since 1970?

What percentage of a university's programs have been assessed at either the initial approval or academic review stages for inclusion of courses and portions of courses which address relevant realities and concerns of members of equity-seeking groups? What percentage of the assessments involved participation by scholars from historically excluded groups? Of the programs reviewed, what percentage of the programs had made reasonable efforts to offer curricula that were inclusive?

What percentage of the university's budget is allocated to a) faculty development programs which sensitize teachers to the reality and concerns of students from equity-seeking groups in the classroom; b) assisting faculty with the revision of courses and course materials to reflect relevant realities and perspectives of members of equity-seeking groups; and c) assisting academics to respond to the special needs of students with a disability (e.g. special equipment)?

Do student course evaluations contain specific questions on equity bias in course materials, class atmosphere and language? Has the university conducted any surveys during the past two years to determine the views of students from historically excluded groups with respect to the equity climate in

What percentage of the university's budget has been allocated to child care for the period since 1970? Are there on-campus child care services with a) enough spaces for faculty, students and staff; b) extended and weekend hours; and c) subsidies for both students and staff in need? What fees are charged for the use of these facilities? ■

(Jennifer Bankier is Chair of the CAUT Status of Women Committee.)

### **L'équité : plus de questions que de réponses**

UNE MÉTHODE IMPORTANTE POUR évaluer l'excellence des universités canadiennes consiste à déterminer dans quelle mesure elles facilitent le plein épanouissement de tous les Canadiens. Il ne faut pas perdre de vue que le Canada est une société pluraliste et que les membres des communautés voulant l'équité s'opposent maintenant aux tendances qui les ont historiquement exclus de nombreux secteurs de la société canadienne.

Il est impérieux que des critères efficaces d'évaluation de l'équité et de l'obligation de rendre compte soient mis en place afin de permettre aux gouvernements et aux membres des communautés voulant l'équité de déterminer les progrès accomplis par les universités canadiennes pour réaliser les objectifs de l'accessibilité, d'égalité et de non-discrimination.

Les critères suggérés sont nombreux et en voici quelques exemples. D'abord, il faut trouver des solutions pour éliminer la discrimination en se demandant si l'université dispose de politiques antidiscriminatoires prévoyant des mécanismes de règlement des plaintes venant d'étudiants et du personnel.

Pour assurer l'équité en matière d'emploi, il faut se demander quelle est la proportion de membres des communautés voulant l'équité au sein du personnel et de l'administration de l'université; se conforme-t-on aux lignes directrices de l'ACPPU pour recruter du personnel appartenant à ces communautés; a-t-on respecté le principe du salaire égal pour un travail égal.

Dans le cas de l'équité en matière d'éducation, il faut se demander quelle est la proportion des membres des communautés voulant l'équité à tous les cycles d'études universitaires; quel est le pourcentage du budget de l'université alloué au recrutement d'étudiants appartenant à ces groupes dans les disciplines où ils sont traditionnellement sous-représentés. Dans l'évaluation des programmes, s'est-on demandé combien offraient un contenu non exclusif; quelle proportion de budget de l'université est allouée à des programmes sensibilisant les professeurs aux préoccupations des étudiants des groupes voulant l'équité.

En ce qui concerne les bibliothèques, il faut se demander quelle est la proportion du budget alloué aux ouvrages qui examinent la réalité des membres des groupes voulant l'équité dans toutes les disciplines. La question se pose aussi pour les services de soutien et les services de garde à l'enfance sur les campus. ■

*In an era of reduced government funding for universities, governments & university administrators are introducing performance indicators in the university environment. Such indicators affect the terms and conditions of employment of professors & librarians. They can influence tenure & promotion decisions, salaries, career progress increments, and departmental or unit budgets. Faculty members & librarians are not opposed to performance indicators when they are consistent with the goals & mission of the university. However, CAUT holds that such indicators should be a matter of negotiation between the parties.*

What percentage of the university's budget is allocated to the recruitment of students from equity-seeking groups in fields where they have traditionally been underrepresented?

What is the university's ranking with respect to its tuition fees, compared to all other universities in Canada? What is the total amount of financial support provided by the university to students in constant dollars for each year since 1970? What proportion of this assistance is allocated to students from equity-seeking groups?

How many specialized academic programs permit in-depth scholarly study of the experiences, needs and perspectives of members of equity-seeking groups (e.g. Women's

specific programs and the university at large? What were the results of these surveys?

**Libraries** — What percentage of the university's library budget is allocated for titles exploring the realities and concerns of members of equity-seeking groups a) in all fields of study and practice, and b) in specialized fields such as Women's Studies, Black Studies, or Aboriginal Studies?

**Support Services** — What percentage of the university budget is allocated to support services for members of equity-seeking groups? Are there specialized offices, committees or advisors on campus that provide support to members of equity-seeking groups? Do these facilities and their personnel have secure and adequate funding?

# Don't Fix What's Not Broken

By William Bruneau

A GRANDCHILD TURNS FIVE THIS MONTH, and I've bought a toy fire engine for her. The instruction book says that the toy talks, blinks, and shrieks not to mention its self-propulsion. I test it and find the blinder doesn't blink and the shrieker doesn't shriek. An expert at the toy shop repairs the engine's electronic innards, but the store manager has fixed a nasty message back to head office, since this is the third engine to be returned in a single week.

Uncle Melvyn is ill and asks his doctor for appropriate treatment. He shows signs of an intestinal blockage of some kind. Little does Mel know that his physician has got on the homeopathic bandwagon. Dr. X recommends three herbal treatments and a regime of physical exercise. After weeks of agony and two trips to the hospital, Uncle Mel is found to have a fast-growing benign tumour and it is removed. The family and Maude decide to hold the doctor accountable, bringing her before the College of Physicians and Surgeons and possibly to sue her in the B.C. Supreme Court.

These two parables show just some of the many "accountabilities" at large in late 20th-century Canada. The toy store is accountable to me for the quality of its products but within limited parameters (for instance, making sure the product works as advertised). The manufacturer is accountable to the store and to me but only if (a) the product causes numerous complaints or doesn't sell, or (b) the product injures my granddaughter in some way. And the manufacturer is accountable to its stockholders or owners if its design and marketing result in financial losses.

In all these cases, something happens if the toy is broken, or if the chain of accountability is broken. If it's not broken, no one would think seriously of interfering. There's just too much complexity in the electronics and too much at stake in fiddling unnecessarily with the entire organization of huge factories in four countries.

On the other hand the medical doctor is accountable to her profession (on a variety of standards and criteria that she has helped to negotiate), to the state (to whom she sells services under Medicare) and to her patient (who has a right to expect competent care). The idea that the doctor's "product" could be "broken" has a rather odd ring. But if one pushes hard the concept just might be made to apply. I'll come back to this idea at the end.

I count at least six types of accountability here and it would be easy to find more. How bizarre, then, to find that Alberta's Premier Ralph Klein and Ontario's Education Minister John Snobelen see accountability in just two ways: value for money, and assured control (but not necessarily quality assurance). Toy manufacturers and sellers would expect a more sophisticated approach. What's going on here?

The simplicity of the Klein-Snobelen view comes from the simplicity of their motives. They wish to find new forms of control over government spending and programs, and that means control over us.

Now, few politicians would be so crass as to speak of outright control as their aim. Rather, like Premier Frank McKenna in New Brunswick, and the civil servants of British

*For some politicians 'accountability' is just a back door to more control.*



Columbia and Nova Scotia, the talk is of "performance indicators," outcome measures, and "information frameworks." In Ontario, the Ontario Council on University Affairs flirted in 1994 with the idea of tying provincial economic performance to statistical measures of university performance.

But behind this talk lies an unspoken premise: that universities and colleges have not revealed the truth about themselves. They have simply not been accountable enough. The way to make them accountable is through performance indicators (PIs) and outcome measures (OMs).

PIs show, among many other things, how much it costs per "unit" to educate people in classics and electronic engineering, how quickly students pass through the system, how many books and computers are at students' disposal, how quickly students are employed after graduation, and whether they end up working in the fields for which they were trained.

Outcome measures include students' "degree of satisfaction" with their educational "experiences" and success rates in national and provincial accreditation tests and examinations such as bar exams and national medical tests.

Some of these PIs and OMs are helpful and interesting to university and college teachers. Many of our colleagues routinely do research to develop and to understand measures of exactly this kind. All of us think of them when we organize our teaching and research. For these and other reasons Canada's universities and colleges are tremendously well described already.

That is why Canadian university and college teachers were surprised by such documents as Alberta's *Measuring Up*, a broadside on efficient and client-friendly "reform" of government activities in that province. There are now equivalent documents in every province, and in the Council of Ministers of Education, Canada.

Numerous politicians, civil servants, and pressure groups have decided that universities and colleges do not "respond" quickly enough to their wishes or to the "needs" of the economy. They say this, but at least some of the time, may want to embarrass us into action, to force us to change our programs, our methods, our admissions practices, and our linkages to organized business.

In plain terms, they are talking about new approaches to the control of the post-secondary sector.

The search for control takes unexpected forms. One not so new approach speaks of learner-centred education. This sounds like

**The Toy Fire Truck —**  
If it doesn't work as advertised, someone's accountable, either the store or the manufacturer. The question is, should Canadian universities carry the same guarantee?

the language of the late 1960s when students and relevance were more than just catchwords in a vast cultural upheaval. But the new talk about learners is not about social and cultural experiments.

In a recent note on learner-centred education, Bruce More, President of the Confederation of University Faculty Associations of British Columbia, wrote that "this is not necessarily 'learner-centred' as defined in the literature on teaching/learning methods. Rather it is a version of consumerism, delivering the educational product to the client through the means she/he finds most comfortable."

He adds that the post-secondary sector knows it can do its job better, especially when it comes to easier transfer of student academic credits among institutions, and better planned and executed services to students.

He concludes that public universities and colleges have a good basis for making those improvements for they run on an "accountability system with checks and balances beyond the vagaries of the marketplace. Our advantage is dedicated professionals with a continuing mandate for improving their curriculum and themselves, and striving to do better for students. Our advantage is a system of shared governance, where professionals are able to act like professionals, and need not be subservient to corporate profitability in order to maintain their employment."

A look at the history of universities puts a little more meat on the bones of More's argument. Since the beginning, the state (and at times, the Church) has wanted to know what we are up to. In many English-speaking universities there is a person called The Visitor, and that person's job is to see that the university does not venture down seditious or legally doubtful paths. If a Visitor found that her/his university was indeed on such a path — if the university was "broken" — then and only then would she/he call on the state to intervene.

Even in weak democracies, the state has generally recognized that it is inconsistent to say it wants imaginative and critical and far-reaching thinking from its universities, and yet insist on detailed control of universities' programs and practices. It has been content to let universities compete with one another for students and grants, and to offset public funding on a set of unwritten understandings about the obligations of the university to make strong-minded democrats of students and to prepare them for long professional lives of research and practice.

It's only when those understandings are in peril, only when the system is truly broken, that democratic states intervene. When

the system is working well (although of course it could always work better), state intervention has been typically inefficient and expensive. And the last time the state turned to statistical indicators in order to "get control" of the universities — the 1920s fascination with time-and-motion studies and scientific management — the whole thing collapsed on itself. Bureaucracies multiplied but universities did not noticeably improve. Controls and statistics simply do not and cannot force responsible change in education.

We come again to the central question: "Is the system broken?" On several criteria, the system is working well. It has accommodated a huge influx of students since 1945, and at ever-lower per-student outlays of public funds. It has become research-intensive and teaching-intensive in a way that earns world-wide praise. It is an integral element in the ongoing solution of Canada's great social and economic problems just as it has been since the beginning.

Despite the pace of change since the 1960s, Canadian universities and colleges have kept the channels of communication open to the public, the students, the business community and alumni. We have an enormous store of data to show that all of these things are true.

Yet most of us agree that some things about universities and colleges are not right.

We are not sure how best to accredit new universities and colleges or new (old) programs of study in certain areas. CAUT is at work, as are many others, on this question.

Much worse, Canadians do not know exactly why university/college administrations and governing boards take the key financial decisions they do. Unlike elected school boards and provincial governments, university finance committees frequently still operate in secret. This is wrong.

If accountability means transparency in making decisions, then we have a problem with accountability. Perhaps our system of accountability is, after all, broken in that key respect. CAUT's 1993 report on university governance continues to attract interest. But when will our universities, colleges and provincial governments do something about it?

Yes, indeed, there is something to be done about accountability in Canadian universities. But should we take up a toy-store version of accountability? Should we put faith in expensive new measures of university performance, and pretend that they give us "accountability"? Should we invite a new level of direct or indirect state control, for whatever ideological reason?

We think not. Accountability should and must be a condition that strengthens honesty, transparency and openness in governance in universities and colleges as in all of public life. It should be a framework in which we educators can freely argue out the means and ends of education, responsibly working to change as the world changes yet committed to the permanent demands of a life of inquiry. Down the other roads lies just one thing — mediocrity.

Post-secondary education isn't broken. It isn't perfect. But it isn't broken. ■

(William Bruneau is Chair of the CAUT Ad Hoc Committee on Performance Indicators and Accountability.)

See also proposed policy statement page 9.

## Accountability

# Calling All Canadian Postdoctoral Fellows

By Cheryl Wellington  
& Caren Helbing

A POSTDOCTORAL FELLOWSHIP HAS TRADITIONALLY been viewed as a time of great excitement. Ideally, it is a period of professional maturation when one assumes increasing responsibility for generating an independent line of research. However, many postdoctoral fellows are facing increasing difficulties in securing permanent positions. One general comment often heard today is that there is a mass overproduction of PhD graduates for the limited number of academic positions. Therefore, many postdoctoral fellows may be leaving the academic track to pursue careers in industry, teaching, consulting, or in something entirely unrelated to their field of expertise. Despite these anecdotes, there is virtually no concrete information on the status of postdoctoral fellows in North America. Although postdoctoral fellows represent the major products of a university, we do not have an accurate estimate of their number, their fields of interest or career fates. Indeed, it is surprising to learn that while North America prides itself on the calibre of its researchers, it has so little information about those that are being trained to carry on our tradition of excellence. We are extremely interested in obtaining this information and have performed a pilot study to establish our credibility for this effort.

Our pilot study was aimed at obtaining basic demographic data and measuring the perceived stress levels of postdoctoral fellows at the University of Calgary. Within the limitations of our small sample size ( $n = 46$ ), the highlights of our results were that female fellows constitute approximately 30% of the postdoctoral pool, that most postdoctoral fellows are in their early thirties and approximately 50% have families. We also found that stress and dissatisfaction among postdoctoral fellows increases markedly during later years of training. Our most telling finding was that only 15% of postdoctoral fellows surveyed would recommend their career path to others without reservation.

We are currently launching a much larger national study of postdoctoral fellows training in Canada and Canadian postdoctoral fellows training abroad. Through this national study we will obtain valid demographic data on this group, identify sources of stress and determine the methods most often used to cope with this stress. We will

also characterize the training experience obtained by Canadian postdoctoral fellows and examine their outlook for future job prospects. The information obtained in our national study will be of great interest to all levels of the academic hierarchy as well as faculty and academic administrators. Our findings will also be of interest to granting agencies, industry, and government. Upon completion of the study, our results will be published in leading journals.

One of the most challenging parts of this study is simply identifying all eligible postdoctoral fellows. To address this difficulty, we are searching for postdoctoral fellows training in Canada and Canadian postdoctoral fellows training abroad by a letter campaign to Canadian universities and granting agencies, computer news group postings, and an article in the Canadian Federation for Biological Sciences newsletter. Many of these sources have readily supplied us with lists of postdoctoral fellows and our compiled database exceeds one thousand names. If you are currently undertaking postdoctoral training in Canada or are a Canadian citizen or landed immigrant of Canada who is obtaining postdoctoral training abroad and would like to be included in the study, please register in the database and/or request a questionnaire by contacting us by e-mail. Each member of the database will receive a package containing a letter of invitation to participate in the study, a questionnaire, and a database registration card. We emphasize that participation in the study is voluntary and confidential. Therefore, if you receive a package but do not wish to participate in the study or be included in the database, please return the appropriately completed registration card.

Many thanks in advance for your cooperation. ■

(Cheryl Wellington and Caren Helbing are postdoctoral fellows in the Department of Medical Biochemistry at the University of Calgary.)

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# Policy Statement on Performance Indicators

How should PIs be used?  
What safeguards should be put in place?  
Should they be negotiated or imposed?

PERFORMANCE INDICATORS ARE VERY MUCH IN THE eye of the beholder. For some politicians a university's "efficiency" becomes a "throughput at lowest cost," graduating the highest possible percentage of entering students within four years at the lowest cost in professorial salaries and university maintenance. This is unlikely to be what faculty, students, administrators, or parents see as "efficiency" in higher education.

Over the past eighteen months, CAUT's Ad Hoc Committee on Performance Indicators and Accountability has worked to prepare a policy statement on performance indicators. What follows is the first version.

1. Governments in Canada must continue to fund universities and colleges at a level that permits the continued transformation of the system, and the continued development of the country. This means universities and colleges must be in a position to maintain vigorous programmes of education and research in all the arts and sciences, and in the various branches of professional study. The system must become more accessible to persons from all social and geographical origins, more open to women and minorities, and more balanced in its commitments to teaching and research.

2. Certain indicators on accessibility, on openness in governance, on the size and cost of administration, and on new techniques of instruction could provide evidence for informed argument about curriculum, teaching practice, administrative services, the sources of university funding, and the organization of disciplines and professions in the university.

3. Fundamental and applied research about universities and colleges should be done independently, and funded through arm's-length agencies such as the Social Sciences and Humanities Research Council with the support of the Council of Ministers of Education, Canada. Such research could, inter alia, examine the merits and uses of PIs. It is especially important that researchers study the costs and benefits of performance indicators.

Where governments wish to study particular aspects of university or college performance, such research projects must be public from the beginning, undertaken by researchers chosen through peer evaluation and not through patronage, and its results must be made known freely and immediately to the university community and to the general public.

4. Performance Indicators are usually most helpful at the local level, when they are issue-specific and tailored to the mission/motivate of the university or college. Canadian universities and colleges are diverse in size, scope, and activity; system-wide PIs tend to ignore this fact and to produce unreliable results.

5. Local PIs may combine two features, diagnostic and reporting. Diagnostic PIs should be designed to improve teaching and research, not as a device for punishment.

Local PIs should emphasize the activities of education and research, rather than giving primary attention to narrowly defined outputs. Reporting-style PIs will communicate to the many publics served by post-secondary institutions what universities and colleges do, and why.

6. At the local level, PIs should be negotiated between the faculty association and the administration. Academic PIs should additionally be approved by the senate or equivalent senior academic body.

7. Accountability in universities and colleges is impossible unless the governance of these institutions is open and transparent. An important PI in universities and colleges would be a "measure" of how open they are.

8. Performance Indicators should emphasize the activities of teaching and research as well as the role of the university in democratic society. Is it clear how the politics of the province and region have given the university or college its special character or special tasks? Is the wider community fully welcomed? Is the university or college accessible to students from all social classes? Are the main branches of knowledge under study and research? How is quality in teaching and research assessed? What assistance does the institution give to its academic staff to improve teaching and research? Are working conditions such that all students, professors and staff are able to work freely and effectively to achieve their local mission? How is academic freedom defended on the campus? How are the requirements of women and minorities satisfied? How good — and on what criterion — is the library, and how is this measured? How good are the scientific laboratories and computer systems, on what criteria, and how measured? How have these characteristics changed over time and why?

9. There should be full disclosure of the long-term and short-term reasons and motives for each PI, at the moment it is proposed. If PIs are to justify cuts, let that be clear, along with the consequences. If they are a way of changing the university's curriculum, let that be clear. If they are a way of increasing the power of the university's administrative hierarchy, let that be apparent. On the other hand, if PIs can be shown to raise morale of students and teachers, increase public commitment to learning and to public education, help people both in and out of university (including life-long learners) to face change with equanimity, understanding the social impacts of change — then we should know these things, too.

10. There should be full disclosure of the costs and benefits of any PI at the moment it is proposed. The costs should include the time of all those who undertake the project or provide reports or data. PIs cost money to construct and to maintain. Faculty associations should guard against the assumption that the time of faculty is free. They should also guard against uncontrolled

Statement continues... Page II

## CAUT's Web Site is up & running!



The web site contains a mixture of information about CAUT and its committees and functions. Selected articles from the Bulletin have been posted, plus a selection of policies, briefs and discussion papers. Links have also been made to connect to other association sites both in Canada and abroad.

Get connected  
<http://www.caut.ca>

# Fraud & Misconduct in Academic Research & Scholarly Activity

*CAUT has been one of the pioneers in the search for reasonable procedures to deal effectively with this rare, but serious situation in the academic environment.*

THERE HAS BEEN MUCH DISCUSSION in higher education circles in recent years about how to deal with fraud and misconduct in academic research. Most commentators agree that the cases are rare but serious, and that universities should have policies in place to deal effectively with such problems. The fallout from the Fabrikant murders at Concordia illustrate how important this is.

CAUT has been one of the pioneers in the search for reasonable procedures. Over the past six years, CAUT has developed and revised a background paper, a policy statement and model legal language for collective agreements in this area.

Essentially CAUT wants to ensure the guilty are punished but only after a fair hearing according to proper procedures. This can best be achieved by drafting an appropriate article in the collective agreements of academic staff. Essentially such an article needs an appropriate definition of what constitutes

fraud and misconduct and a proper grievance and arbitration procedure if those who are accused wish to defend themselves.

The first time a faculty association proposed such an article the response was amazement since such articles normally come from the management. CAUT, however, recognizes that the integrity of all academic research is in jeopardy if fraudulent research is not dealt with effectively. That is why we have suggested that all collective agreements should have such provisions.

CAUT has also worked with the federal research councils in the elaboration of their policies on fraud and research misconduct, and has published its own research.

This is, however, a complicated area. The CAUT background paper gives guidance in such areas as definitions, plagiarism, conflict of interest, falsification, forgery, authorship and the like. The paper was cited in an arbitration decision on fraud at the University of Lethbridge. ■

*As part of CAUT's work in the past six years, a concise definition of what exactly constitutes fraud & misconduct has been developed.*

FRAUD AND MISCONDUCT IN ACADEMIC research and scholarly activity means:

(a) fabrication, falsification, or plagiarism;

(b) failure to recognize by due acknowledgement the substantive contributions of others, including students, or the use of unpublished material of others without permission, or the use of archival materials in violation of the rules of the archival source;

(c) failure to obtain the permission of the author before making significant use in any publication of new information, concepts or data obtained through access to manuscripts or grant applications during the peer review process;

(d) attribution of authorship to persons other than those who have participated sufficiently in the work to take public responsibility for its intellectual content;

(e) submission for publication of articles originally published elsewhere except where it is clearly indicated in the published work that the publication is intended to be a republication;

(f) unauthorized and intentional diversion of the research funds of the university, federal or provincial granting councils or other sponsors of research;

(g) material failure to comply with relevant federal or provincial statutes or regulations for the protection of researchers, human subjects, or the health and safety of the public, or for the welfare of laboratory animals;

(h) material failure to meet other relevant legal requirements that relate to the conduct or reporting of research and scholarly activity;

(i) failure to reveal material conflict of interest to sponsors or to those who commission work, or when asked to undertake reviews of research grant applications or manuscripts for publication, or to test products for sale or for distribution to the public;

(j) failure by those involved in a research project to reveal to the employer any material financial interest in a company that contracts with the employer to undertake research, particularly research involving the company's products or those of its direct competitors, or to provide research-related materials or services. Material financial interest includes ownership, substantial stock holding, a directorship, significant honoraria or consulting fees but does not include routine stock holding in a large publicly traded company. ■

1. Purely formal association with the research project such as the headship of a laboratory or faculty where the head or dean had no direct research involvement may be noted as an acknowledgement but not as authorship. General supervision of the research group is also not sufficient for authorship but may be acknowledged. Technical help, data collection or critical reviews of the manuscript prior to publication may be acknowledged in a separate paragraph.

For the full text of CAUT's policies, see the CAUT web site (<http://www.caut.ca>) or contact CAUT.

*A Skeptical Look*

## Value-for-Money Auditing

UNIVERSITIES, OF COURSE, ARE REQUIRED to have their books audited. All universities have their own auditors who conduct an annual audit. The provincial auditor in Ontario thought such audits were not always as thorough as they might be. Nor are the published reports necessarily very informative, a problem which would be solved if the line budget became an open document. In any event, this led the provincial auditor to audit three Ontario universities.

It was a serious error by the Ontario universities to refuse the provincial auditor access to all their accounts on the grounds that not all the money came from the province. It inevitably provoked the government and led to suspicions about the auditing process. It would have been far better simply to have declared the books open to any reasonable inquiry from within or without the university.

We are concerned about the drive of the provincial auditing bureaucracy to transform financial auditing into line control of the operations of the university by the back door, through so-called value-for-money accounting.

What this is supposed to mean is that the auditors will decide not only on the accuracy, the depth and the honesty of the financial accounting but also on whether the programs on which the money is spent represent value-for-money. This seems little more than a presumptuous attempt by the auditors to run the university. The question is, of course, whose values and whose criteria.

Jeffrey Simpson, national columnist for *The Globe and Mail*, had these suggestions in regard to value-for-money accounting for the Association of Universities and Colleges in a recent symposium on accountability:

"My advice to you in this matter is highly unusual for a journalist, all of whose contemporaries revere the country's auditors-general. I am, however, a sceptic of the impact of value-for-money auditing on government. I am not convinced that it brings the benefits everyone supposes. In Ottawa, which I know best, value-for-money auditing has contributed to the entire government apparatus being preoccupied with process. And yet it can hardly be claimed that this proliferation of attention to procedure and accountability...has made government more effective. Indeed, I would argue that it is at least a defensible proposition that government became too big and cumbersome in part because of the excessive requirements of procedure."

"Value-for-money auditors vary far from what has been traditional auditing. In my opinion, value-for-money auditing, whatever its merits, also brings us values-for-money auditing, and the values are those of the auditor..."

"So my advice to university and college presidents is to fight by whatever means against allowing auditors to extend their mandate into your territories. This does not mean that accountability is not required; it does mean that you would be doing yourselves, your institutions and ultimately the taxpayers a favour if you did not allow value-for-money auditing, and those who practice it, to invade universities. If they do, the demands of process which have so preoccupied governments will increase dramatically in your institutions."■

The major proponents of this approach in Canada are James Curr and Rodney Dobell. Some of the principles on which they would operate a system are clear from their most recent book<sup>2</sup> — accessibility of students should be curtailed and dressed up as a commitment to excellence, output in relation to students should be measured in how high a salary they get after graduation, and academic self-government and unionization should be curtailed as much as possible.

Value-for-money accounting in our view is simply a bad idea. It is a sophisticated technique for increasing governmental control of the operations of the university and for imposing a particular political agenda. We hope that both provincial governments and universities will reject this approach.

The main organization propagating these views is the Canadian Comprehensive Auditing Foundation, established in 1980, which has identified the universities as its latest target. It considers that one of the key issues "...is the trade-off between access and excellence."■

The use of the totem of excellence to deny higher education to qualified Canadian students was a feature of the approach of the federal government and its clients at the National Forum on Post-Secondary Education in Saskatoon in 1987. It is noticeable that the people and organizations represented there rejected that approach and demanded both excellence and accessibility. ■

1. Jeffrey Simpson, *Keynote address: Accountability in Higher Education*, General meeting of the Association of Universities and Colleges of Canada, Vancouver, 4 March 1992, pp. 3-4.

2. See especially ch. I: "Accountability and Autonomy in Canada's University Sector: Business as Usual or the Lull before the Storm" in Curr and Dobell.

3. *Task Force on University Accountability: Progress Report and Issues Paper*, Ontario Task Force on University Accountability, Toronto, June 1992.

The above article is taken from *Governance & Accountability: The Report of the Independent Study Group on University Governance*, CAUT, Ottawa, 1993.

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# A Primer on Conflict of Interest

"**A** CONFLICT OF INTEREST OCCURS when a person has a duty to fairly decide to vote on an issue, and there is a reasonable presumption that the person stands to be benefited or harmed from a certain resolution of the issue."

In a Policy Statement on Conflict of Interest, adopted in 1991, CAUT urged universities and colleges to ensure that they had in place policies applicable to all members of the academic community including the faculty, the management, and the Board of Governors for dealing with these types of problems.

Generally speaking CAUT takes the view that, where there are material conflicts of interest, individuals should withdraw from the discussion and the vote but are not required to give up their position. The exception to this are members of the Board of Governors who have ongoing substantial business interests with the university or college. They should not sit on the board. CAUT does not think the university's law firm should sit on the board, nor should representatives of its major insurance or pension supplier and the like.

Faculty members involved in any companies, including those of a research nature,

which have contracts with the university should ensure that these arrangements are known to the university administration and they should follow the ethical principles which are discussed in another CAUT document, *Information Paper on University/Business Relationships in Research and Development*.

Faculty members elected to Boards of Governors should feel free to discuss and vote on issues of academic policy since that is the reason for their election. However, they should not participate in discussions or vote on matters which affect them personally.

The president should declare all of his or her business interests in an annual public statement to the board. Neither the president nor any senior administrator with the power to recommend contracts should be owners, partners, or have a substantial interest in any company that does business with the university. That should not preclude the president from accepting directorships in companies that do not do business with his or her institution since such directorships can be useful for the purposes of fund raising.

CAUT has also developed an information paper on conflict of interest which discusses and defines the notion of what is and what is not a conflict of interest. ■

# Policy Statement on Performance Indicators

From Page 9

expenditures on PIs, leading to ever-increasing bureaucracy and to the dead hand of government on the way teaching, research, and community service is conducted. The question should always be asked whether the funds would be better used solving the problem rather than producing a report (and in particular, a statistical report) about it.

11. The choice of indicators and PIs should be driven by policy — not the other way round. The fact that something can be measured should not mean that we necessarily measure it.

12. Performance Indicators on the satisfaction of graduating students should be sophisticated and nuanced. If the institution decides to use exit surveys, it should also administer surveys at five, ten, and twenty-five years after graduation. It should be also be clear what these instruments are measuring. If the university or college surveys specific groups of graduates or others, these, too, should be nuanced. If business leaders are asked for opinions, so should labour leaders and community groups. If newspaper editors or owners are asked, so should working journalists. Overall the university or college should recall that the opinions revealed by surveys may have little to do with the facts as they are. Surveys may yet be interesting and useful, but should not be assumed to reveal either the truth of public opinion, or the truth of an institution's health.

The public interest should not be defined solely by the demands of individual

groups or by a set of "clients". The public interest is defined by democratic principle, by historical development, and by exigent moral stands such as respect for persons. It cannot and should not be defined by temporary waves of client demand.

13. Faculty associations should guard against the use of PIs that deliberately or unintentionally promote the separation of teaching and research.

14. Faculty associations should ensure the academic work of university teachers and researchers is always assessed by peers and that this is done fairly. [See Canadian Association of University Teachers, *What is Fair?*] ■

15. Faculty associations should guard against the culture of compliance that can easily arise from mindless application of PIs. Universities and colleges are organized to push back the frontiers of knowledge in teaching and research. PIs can encourage an arrangement where people do the minimum and punch the clock, albeit metaphorically, just to get by. Excellence is not produced by rules and bureaucracy but by first-class professionals who have the freedom and the time to teach well and to undertake first-class research. ■

The CAUT governing Council will be giving a first reading to this proposed Policy Statement in May with the intention of making a final decision at its meeting in November. Any comments or suggestions for improvement should be sent to the Executive Director at CAUT. The full text includes a foreword which we did not have space to publish but which can be found on the CAUT web site (<http://www.caut.ca>).

# Keep the Vision, But Let In the Light

*Openness must ... be the normal condition of discourse in the university.*



Universities have an obligation to society to show that they are using the resources entrusted to them in a responsible way. This is possible only if the university is open to public scrutiny, open in its accounts, open in its governance, policies and administration, open in its debates.

**I**N 1995 CAUT ADOPTED A POLICY Statement on Openness and Transparency in Post-secondary Education. It noted that: "Persons and institutions can be held accountable only if one can see what they have done: openness is necessary for the discovery of error, for its correction, and for the assignment of responsibility."

"Moreover if universities are to be self-governing, then they have a reciprocal obligation to society to show that they are using the resources entrusted to them in a responsible way. This is possible only if the university is open to public scrutiny, open in its accounts, open in its governance, policies and administration, open in its debates."

The statement then goes on in some detail to argue that meetings of senior academic bodies and Boards of Governors should normally be open. As well, meetings of Senate budget and planning committees should be open, the line budget should be open, and major planning exercises should be open from their inception. Archives policies should be as open as possible and, in any event, no more restrictive than the federal government in regard to its archives.

The document suggests that salaries of all senior administrators and all academic staff be public. So should all collective agreements and the academic curriculum vitae of senior administrators and academic staff as submitted by them to the university or college. It recommends that arbitrations under collective agreements normally be open although it recognizes that in certain limited circumstances they may be closed.

Neither the university nor the college nor the academic staff should engage in secret research, except where contracts require a limited waiting time in order to secure patent protection. The increasing involvement of business and governments in the research work of the university is putting a considerable strain on this principle.

Finally the statement urges a much greater degree of openness on the part of both the federal and the provincial governments. ■

For the full text of the statement, see the CAUT web site (<http://www.caut.ca>) or contact CAUT.



# Governments, Too, Are Accountable

*Governments give the impression that they have no interest in hearing anything other than that which supports their conventional wisdom.*

**G**OVERNMENTS SHOULD BE ACCOUNTABLE for their higher education policies but rarely is this the case. Provincial governments are accountable to their electorates, but provincial elections do not often feature higher education as an issue. Nevertheless major decisions on higher education that are both expensive and which could change the system in a dramatic way must ultimately be made by governments.

These decisions might include the opening or closing of universities, expanding or contracting the number of expensive professional schools such as medicine or engineering, pooling resources on a major scale within the province or with other provinces, substantially increasing or decreasing the intake of students.

This means that truly responsible governments should ensure their decisions regarding post-secondary education are fully discussed with the stakeholders and other interested parties before adoption, and then debated in public, particularly if they are

contentious. At the moment this normally takes the form of hearings before a commission appointed by the government. The CAUT Policy Statement on Openness and Transparency states:

"Commissions nominated entirely or largely by the government lack credibility since the perception of reasonable persons is likely to be that the government would appoint those who are going to recommend what the government has decided to do in the first place, whether this is actually the case or not. The best way to ensure that there are independent commissioners is to allow the stakeholders in question either directly to nominate some of the commissioners or to create a process by which mutually agreeable commissioners are chosen. Individual commissioners should always have the right to make a public minority report."

The report of the Independent Study Group on University Governance commissioned by CAUT in 1990 supported public consultation. However, it noted that, "the

word consultation has fallen into disrepute because it all too frequently means *pro forma* hearings over plans which the provincial civil service has already decided." An example of this was the original terms of reference of the Johnson Commission in Saskatchewan where the questions posed to the commission appeared to presuppose the answers already arrived at by the bureaucracy.

Other tactics which confirm cynicism about the process are impossibly short deadlines, a half-hour hearing to discuss a very complicated question, and the clear evidence in the final report that the commissioners have never read the briefs. Many governments give the impression that they have no interest in hearing anything other than that which supports their conventional wisdom. The cynics also note the prostitution of the language which sometimes takes place in such political debate.

If governments want to reduce university and college budgets, downgrade accessibility and cut research, they should say so and not blather on about accountability and other smoke screens. Nor should they pretend that programs are "world-class" when they are not or when the funds are being cut so that they could not possibly be so.

All this means that the university community itself is going to have to devise better means of ensuring these issues are truly debated by the general public before serious decisions are made. Cable TV, the Internet and the World Wide Web may be some of the ways to offset the power of the provincial bureaucracy. Town meetings and other such gatherings may be another way. The university also has to have some alternatives; the alternative budget movement is one way to do this.

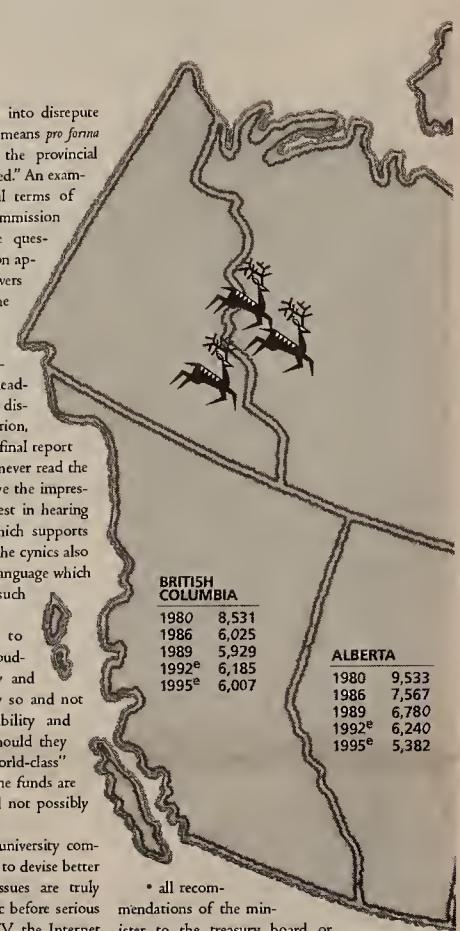
Another way to ensure governmental accountability is through openness and transparency. CAUT recommends that all government departments responsible for higher education should ensure that:

- the existence of all internal policy and financial studies are known to the stakeholders before they are begun, including the names of researchers, and the projected costs; and, when the studies are completed, the results and final costs are made known to the stakeholders;

- the names, terms of reference, preliminary and final reports of consultants are open including their files which should be available for researchers as soon as the final report is submitted;

- all correspondence from third parties with the minister and the civil servants regarding post-secondary policy or finances as well as the responses be open upon request;

- the existence of all contract research including the names of the principal investigators and co-investigators, the title and explanation of the project, the costs and the final report be open and public; and



\* all recommendations of the minister to the treasury board or equivalent to the cabinet regarding higher education policy and financing be open.

Where provincial grants commissions exist, their meetings should be open, their documentation and line budgets public (including salaries, honoraria and expenses), and their recommendations to government open.

The reports of all accrediting agencies should be open along with their procedures, statistical and weighting methods, and the names of those who conduct any official inquiries, as should the reports and recommendations of provincial or regional agencies that examine and approve new undergraduate or graduate programs.

Governments hide behind so-called freedom of information legislation and do the minimum required. One can understand why certain government matters should be confidential such as police operations or the minutes of the cabinet. It is hard, however, to see why anything in the ministry of higher education should not be open.

CAUT reviews the track record of the federal government in regard to post-secondary education and university research each year on the anniversary of the last federal election. For details see the CAUT *Bulletin* special edition, *The Liberal Record*, November 1995. However, the federal budget has been released since then and has continued its relentless attack on transfer payments for post-secondary education and for university research. ■

## Academic Alarm

*Ontario universities and colleges must lead the search for solutions as the government proposes big overhaul.*

**O**NTARIO UNIVERSITIES AND COLLEGES are facing a radical overhaul by a Conservative government motivated as much by anti-intellectualism as a thirst for thrift. The institutions must prepare for an uncertain future with creativity and boldness.

During last spring's election campaign, Tory leader Mike Harris revealed his contempt for scholarship by suggesting he would abolish tenure for university professors, to make them function more like business people. Harris's comment betrayed his ignorance about the importance of protecting academic freedom, not least from meddling by governments such as his.

The Common Sense Revolution document offers more cause for alarm. It states that universities and colleges "have suffered from government's failure to set priorities" — as though governments could (or even should) predict and fill the province's future educational needs.

The document goes on to lament a "lack of funding (that) has resulted in lower quality service to students." The solution? Freeze provincial spending but permit tuition fee increases and some unspecified "private sector involvement" in the student loans program.

Since then, things have gotten only worse. The \$2.6 billion in provincial transfers to post-secondary institutions last year will decline by \$400 million this year. And more cuts are likely as a reduction in federal subsidies for universities and colleges kicks in later this year.

The Tories have promised public consultations to define new goals for higher learning. And indeed, versions of a discussion paper (now said to be in its 13th draft) have been floating around Queen's Park, and

former premier Bill Davis is being rumored to head a new task force on post-secondary education.

Whatever form it takes, the renewal exercise should be guided by three core principles:

One, higher education is a right, not a privilege, in a modern industrialized society. As the minimum requirement for most decent jobs these days, post-secondary education must remain affordable and accessible.

Two, universities must resist pressure from government and business to crank out perfect little workers. No one can predict the needs of the workforce several years from now, least of all an institution traditionally slow to change.

Rather, the university should teach independent thought, research skills and other building blocks of a civilized society, and leave businesses to meet their own training needs.

And third, budget cuts must come from administrative savings, not the lecture halls. Ontario could usefully look to Nova Scotia, where universities have found substantial savings through mergers and consortia to share such functions as plant operations and student registration. None feel they have betrayed their principles or autonomy.

In the face of the Tory government's powerful will to cut, student groups and organizations representing universities and colleges must lead a constructive and united search for solutions.

After all, generating new ideas and leading public debate are time-honored academic traditions. ■

Editorial, *The Ottawa Citizen*, April 10, 1996. Reprinted with permission.

## Overview of the Federal Government's Track Record for PSE & Research

If governments want to reduce university and college budgets, downgrade accessibility and cut research, they should say so and not blather on about accountability and other smoke screens. Nor should they pretend that programs are "world-class" when they are not or when the funds are being cut so that they could not possibly be so.

### OPERATING GRANTS TO UNIVERSITIES PER FTE STUDENT

The accompanying map of Canada shows the interprovincial comparisons of operating grants to universities paid per FTE student for selected years over the past decade and a half. All figures are listed in constant 1986 dollars.

Note: e = estimate

Source: *The Financial Position of Universities in Ontario 1995*, Council of Ontario Universities, Table 16. Amounts in constant dollars calculated by CAUT.

CANADA AS A WHOLE	
1980	7,911
1986	6,147
1989	6,276
1992 <sup>e</sup>	6,004
1995 <sup>e</sup>	5,530

SASK.	
1980	8,357
1986	6,965
1989	6,455
1992 <sup>e</sup>	5,966
1995 <sup>e</sup>	5,282

### MANITOBA

MANITOBA	
1980	7,821
1986	6,326
1989	6,583
1992 <sup>e</sup>	6,015
1995 <sup>e</sup>	5,708

### ONTARIO

ONTARIO	
1980	6,787
1986	5,677
1989	5,774
1992 <sup>e</sup>	5,507
1995 <sup>e</sup>	4,895

### QUEBEC

QUEBEC	
1980	8,687
1986	6,183
1989	6,758
1992 <sup>e</sup>	6,694
1995 <sup>e</sup>	6,371

### N.F.L.D.

N.F.L.D.	
1980	9,826
1986	7,043
1989	7,580
1992 <sup>e</sup>	6,649
1995 <sup>e</sup>	6,881

### P.E.I.

P.E.I.	
1980	6,961
1986	6,099
1989	7,155
1992 <sup>e</sup>	6,347
1995 <sup>e</sup>	5,801

N.B.	
1980	7,795
1986	6,020
1989	6,136
1992 <sup>e</sup>	5,438
1995 <sup>e</sup>	4,924

N.S.	
1980	6,626
1986	5,768
1989	5,779
1992 <sup>e</sup>	4,848
1995 <sup>e</sup>	4,281

### GERD

as a percentage of GDP (1993)

GERD	
1. Sweden <sup>a</sup>	3.26
2. Japan <sup>b</sup>	2.94
3. U.S.A.	2.66
4. Germany <sup>c</sup>	2.48
5. France	2.45
6. Finland	2.22
7. U.K.	2.19
8. Norway	1.94
9. Netherlands	1.89
10. Denmark	1.80
11. Canada	1.58
12. Austria	1.52

### Notes:

GERD = Gross Domestic Expenditures on R&D

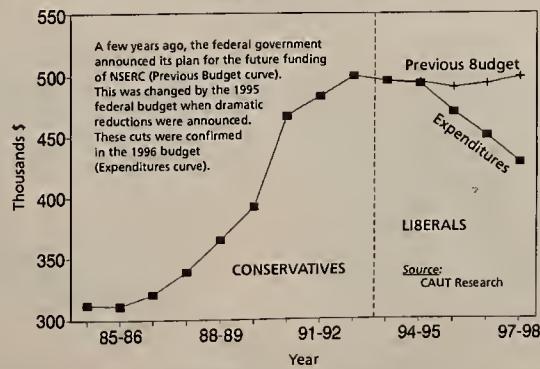
GDP = Gross Domestic Product

a = underestimated or based on underestimated data  
b = overestimated or based on overestimated data  
c = national estimate or projection adjusted, if necessary, by the Secretariat to meet OECD norms

Source: *OECD, Main Science & Technology Indicators*. 1995

### TOTAL NSERC EXPENDITURES

Including Centres of Excellence



### TOTAL RESEARCHERS

per 1,000 labour force (1991)

TOTAL RESEARCHERS	
1. Japan <sup>b</sup>	9.2
2. U.S.A.	7.6
3. Norway	6.3
4. Germany <sup>c</sup>	6.1
5. Sweden <sup>a</sup>	5.9
6. Finland	5.5
7. France	5.2
8. Canada	4.7
9. U.K.	4.6
10. Denmark	4.1
11. Netherlands	-
12. Austria	-

### CASH EPF FOR PSE PER STUDENT

Year	Cash EPF for PSE (Constant 1986\$)	Total Full Time Students	Cash per Full Time Student (Constant 1986\$)
1977-78	1,938,750,000	374,185	5,181
1980-81	2,305,729,000	382,617	6,026
1983-84	2,289,447,000	450,508	5,082
1986-87	2,238,747,000	475,414	4,709
1989-90	1,981,477,000	515,025	3,847
1992-93	1,937,488,000	569,480	3,402
1995-96	1,749,385,000	574,304 <sup>e</sup>	3,046 <sup>e</sup>

Note: e = estimate

Source: CAUT Research

## **Responsabilité publique**

# **Accountability through the Accreditation of Universities & Colleges**

**A**CCOUNTABILITY IS VERY MUCH THE vogue in discussion about universities and colleges in many western industrialized countries. Countries such as the United Kingdom, France, Holland and the United States have all put in place varying systems to try to ensure the accountability of their higher education institutions. Accreditation is one possible tool for doing this.

CAUT can do a service to the university community by proposing methods of accountability and accreditation which can reasonably satisfy the general public and all levels of government concerning the quality of operations of each institution without burdening everyone with irrational and counterproductive bureaucratic structures. We can suggest the difference between fads allegedly derived from business administration, and effective accountability and planning which may be less glamorous but more rational. CAUT can also point out to the public that some schemes of accountability, while being touted as making the universities more responsive, are, in fact, designed to accelerate the growth of bureaucratic and political control of the universities and colleges and mask the impact of chronic and deliberate underfunding.

Nothing illustrates this better than the situation in the United Kingdom. Thatcherism, while ostensibly a doctrine of individualism, has, in fact, caused a dramatic increase in central power whether by the destruction of local government or by increased control of the university sector. In the universities this has produced a new level of bureaucracy largely devoted to dealing with frequent, mandated reviews of teaching and research. It has also produced an ongoing war between the vice-chancellors and the central government which has lasted about a decade, involved the creation at great cost of competing structures of accountability, and only now seems to have resulted in an unstable peace treaty.

Can we simply say no? This is not a politically viable route. Governments will paint academic staff as a privileged group that refuses to be accountable for the large sums of money spent on universities and colleges and that wishes to hush things up when one of their colleagues seriously transgresses professional norms. The medical doctors have not

done a great job of defending themselves in somewhat similar circumstances. We should learn from their failures and their successes. We have to be more politically astute than those who really think that the universities and colleges can be better run by bureaucrats, politicians or businessmen.

Without in any way arguing for a system of national standards or a national curriculum, a properly constituted national accreditation could help ensure national equivalence and accessibility. It is a useful counter to federal cuts in the funding of post-secondary education which threaten to balkanize the system into haves and have-nots. It will also help us to deal with quasi-universities, which have begun to appear, in the sense that accreditation will focus discussion on what actually constitutes a university.

In the early nineties, CAUT appointed the independent study group on university governance and accountability. They reported in 1993 and made a series of recommendations concerning university governance, openness, and accountability through accreditation.<sup>1</sup>

What did ISGUG mean by accreditation? It meant a national mechanism whereby universities and colleges could be held accountable for the work undertaken by them as set out in their mission statements, academic plans and other such documents. This approach would recognize that there is a major difference between institutions and would hold them accountable only for the educational goals that they themselves had developed. It also meant a process by which the entire operations of a university or college would be reviewed, not particular faculties and professions, in the light of historic academic standards.

ISGUG suggests a model that is a mix of experience from the United States and from Europe. It recommends one that derives from the American experience of accreditation in the sense that accreditation in the United States involves an examination of the individual institution in accordance with its local mission statement but covering the whole range of activities that are normally involved in university work — teaching, research, the state of libraries and scientific equipment, student services, the quality of the adminis-

tration, the state of academic freedom, and the diversity of the student body. It differs from the American model in suggesting that accreditation should be national, open, and be governed by a body which, while having a substantial representation of the stakeholders, should also have a reasonable representation from governments and from the general public. Accreditation has run into political difficulties in the United States precisely because their system is not particularly open and does not have reasonable representation from governments or the general public.

The Report follows the European model in the sense that it recommends a national body to do this work. It does not say explicitly whether this body should be voluntary but, in my opinion, that is the only way it could possibly work. That means that those who object to any pan-Canadian initiatives in this area (such as FQPPU) can simply opt out without denying to everyone else the possibility of creating such a structure.

The Report suggests the following reasons for such a national system, namely:

- that local systems of accountability, although they should be primary, are unlikely to deal effectively with the scepticism to be found in the media and the general public about self-policing professionals.

- that a system of accreditation that takes into account the whole institution will ensure that all parts of the university, not just those with professional accreditors, are covered. This is particularly important since professional accreditation is frequently used as a lever for more money.

- that the post-secondary system is now much larger and much less homogeneous. The rise of university colleges in British Columbia is already influencing other provinces and that government is also proposing new forms of universities. The abolition of the binary divide in the United Kingdom and in Australia will have an effect on Canadian policy makers. Privatization may lead to yet other structures. Bible colleges and businesses want to run universities. There are now hundreds of private colleges in British Columbia run on the principle of caveat emptor. What will ensure quality?

- that balkanization through ten different accrediting standards in a country with a

population and a post-secondary education sector as small as Canada's defies common sense, and flies in the face of the needs of the country. Canada now faces the reality of international competition and competitiveness in all walks of life including post-secondary education.

- that accreditation systems created by provincial governments are likely to be staffed or structured so that the key financial decisions of the provincial government are automatically validated. The more provincial governments cut budgets for post-secondary education, the more they announce that their universities and colleges are world-class. Because a national body would involve more constituencies from all across the country, it would be more difficult for one government to subvert the process.

- free trade with the United States has already meant an increased number of American institutions operating in Canada. Canada can cope with this development only by creating a system of independent accreditation for all institutions whether Canadian or American.

- national accreditation would make it easier for Canada to compete with the United States and the Europeans for foreign students, since there would be one address to find out about the standards of various institutions.

ISGUG proposed a basically self-governing arrangement. Without any such arrangement, it is likely that provincial governments will create their own quality assessment structures which sooner or later are likely to fall under the control of the provincial ministry. ISGUG also noted that its proposal would allow the federal government as well as the CMEC to provide funding without creating a federal institution or a federal educational policy. ■

1. Ernst Benjamin, Guy Bourgeault, and Ken McGovern, *Governance & Accountability: The Report of the Independent Study Group on University Governance*, CAUT, Ottawa, 1993.

The CAUT governing Council will be discussing the question of accreditation at its May and November meetings. The preceding background document was prepared by CAUT President Dr. Joyce Lorimer.

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In Winnipeg

# UMFA Stands by Refugee Students

By Tom Faulkner

**L**AST FALL WHEN MEMBERS OF the University of Manitoba Faculty Association (UMFA) were scraping their coffers to cover strike pay, they were also paying several hundred dollars per month to support a student refugee from political disorder in Burma. That's not chicken feed when you're giving up your own pay in order to walk a picket line.

This is the second year in a row that UMFA has made it possible for a Burmese student to come to Canada under the Refugee Student Program of the World University Service of Canada (WUSC). Last year it was Andrew Tun; this year it was Kyi Lwin.

Without the WUSC program they would still be in refugee camps overseas, barely getting by, or worse. Thanks to the WUSC program and its generous supporters, they receive a full year of support as students at a Canadian university.

The support is solid and efficient. Manitoba has been bringing in WUSC refugee students for over ten years from troubled countries all over the world, and in every case the students have been successful in establishing themselves after the first 12 months of full support. But it is not just money that the students require.

Kyi Lwin arrived in Winnipeg from Burma in December. Try to imagine what it feels like to fly from tropical Burma to the corner of Portage and Main at -40 degrees Celsius! The WUSC local committee was there to provide clothing and advice, and reassurance that "this too shall pass." (They were not believed, but the clothing was much appreciated.)

Andrew Tun faced a different problem in that there were very few Burmese in Winnipeg when he arrived. But now there is a small Burmese community in the city made up of other refugees brought in under a government-sponsored program. Andrew and Kyi Lwin have strong ties to both the recently arrived Burmese and to students who have lived in Manitoba all

their lives.

The day-to-day support of students on the WUSC local committee is crucial to helping Andrew Tun and Kyi Lwin settle into the Canadian context, showing them how to meet friends in residence and how to understand the individualistic style of students raised in Canada.

Kyi Lwin plays chess, but whom do you play when you are a complete stranger? The WUSC local committee is there to help with introductions.

Need a part-time job? A committee member works in a downtown restaurant where a student newly arrived from Burma might have a shot at becoming a dishwasher.

Not happy with your TOEFL scores? Clueless about what classes to take? The committee members are there to help you practice your English and to take you to look over a few classes.

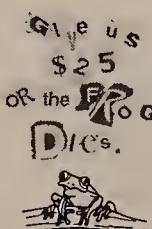
The refugee students in turn become involved in the work of the WUSC local committee, helping to raise money through a 24-hour read-a-thon. That cash helps to cover one-time costs such as airfare and head tax.

In the meantime the steady and substantial annual grant from the faculty association helps to attract donations from individuals and to ensure that the university administration continues to waive tuition and residence costs. In times when everything is being cut back, regular support from UMFA is crucial to continuing the Refugee Student Program.

Backing a refugee student's only chance for higher education and striking in defence of higher education: UMFA deserves our praise for finding the resources to do both. ■

(Tom Faulkner is a professor of Comparative Religion at Dalhousie University.)

If you are interested in encouraging your faculty association to support a WUSC student refugee, contact your association officers, or write to: Tom Faulkner, CAUT/WUSC Liaison Officer, c/o Department of Comparative Religion, Dalhousie University, Halifax, Nova Scotia B3H 3J5; e-mail: tom@is.dal.ca.



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Pen Canada &amp; International Pen

# Fighting for Freedom of Expression Worldwide

By Marian Botsford Fraser

**P**EN CANADA, AS A MEMBER OF International PEN, the worldwide organization of writers, fights for freedom of expression. Our work takes the form of adopting imprisoned or threatened writers as honorary members and working specifically on their behalf. In forcing repressive regimes and our own government to acknowledge the plight of individuals, we hope to highlight the significance of freedom of expression as one of the most fundamental human rights. When freedom of expression is denied to the citizens of a state, other human rights abuses flourish unabated, in a terrified silence.

Twenty-four hours last November dramatized the work of PEN Canada. On November 9, we heard Prime Minister Jean Chrétien finally speak out at the Commonwealth conference in New Zealand, on behalf of Nigerian writer Ken Saro-Wiwa, whose death sentence had been ratified a few days before. Ken Saro-Wiwa was imprisoned in May 1994; in October 1994, he became one of PEN Canada's cases, and subsequently was honoured at the Harbourfront International Writers Festival and at the PEN Canada annual benefit. His son, Ken Wiwa, spoke at that event, and PEN took him to Ottawa to lobby on his father's behalf. In the fall of 1995, it seemed that the name of Ken Saro-Wiwa was on the lips of journalists, activists, and government leaders everywhere. People who had never heard of Ogoniland now knew of Saro-Wiwa's trial. And finally, Commonwealth leaders dared to speak his name, in a strongly worded plea for clemency.

Hours later, we heard that Saro-Wiwa, and eight other Ogoni activists, had been executed.

The names of Ken Saro-Wiwa, Wei Jingsheng, Salman Rushdie, Aung San Suu Kyi and Taslim Nasrin have become common international currency. They are all writers; their fame derives not simply from their writing but from their persecution. And they form the tip of a most insidious, shifting pyramid.

Just as there appears to be a softening of the Iranian government's *fauva* against novelist Salman Rushdie, just as Burmese Nobel Peace Laureate Aung San Suu Kyi is released from house arrest, a shot rings out or a prison door slams shut somewhere else in the world. The Chinese dissident, Wei Jingsheng, for example, has already spent sixteen years in prison for advocating human rights; he was freed in 1993 after international intervention, and then last December was sentenced to another four years.

It is a terrible irony that notoriety offers an uneasy (and in the case of Saro-Wiwa, short-lived) protection for these writers; if their names were not in international circulation, they might easily be quietly killed. They are visible, even familiar but not free. They are also symbols of the persecution of many other writers who are not well-known.

Consider the sheer numbers of writers imprisoned or killed, simply for what they have said or written. In Turkey, International PEN is investigating 250 cases of persecuted or executed journalists and writers. In Algeria, at least 30 writers have been killed in an escalating civil war. Egypt has been in an official "state of emergency" for 27 years; this results in the volatile

public dynamic in which, for instance, Nobel Laureate for Literature Naguib Mahfouz was stabbed by Muslim extremists. In Tibet and Vietnam, Buddhist monks are declared enemies of the state.

But move even further into the chilling depths of censorship. Censorship is the weapon of first resort for governments in uncertain political situations. Not only are famous writers and bold journalists in danger, at every level of public and private life, the freedoms to think, read or write are denied. Nothing is reported, criticized, questioned. The example of imprisonment, torture or execution imposes a further silence. Fear and ignorance prevail.

The name of Ken Saro-Wiwa has dropped from the public consciousness. What now for the Ogoni people? What of Wei Jingsheng, whose case PEN Canada is currently asking the Canadian government to intervene in. We should not blink and shrug off the celebrity of such writers. We have to go back, over and over again, as we used to do with Alexander Solzenitsyn in the Soviet Union and pick away at the insidious framework of censorship, by starting with the names we know.

Had the Prime Minister of Canada and other leaders spoken the name of Ken Saro-Wiwa just a few days or weeks earlier, his life might have been spared. We must redouble our efforts to ensure that similar tragedies do not occur elsewhere in the world. ■

(Marian Botsford Fraser is the past president of PEN Canada.)

For information on how to join PEN Canada, please contact: PEN Canada, 24 Ryerson Avenue, Suite 309, Toronto ON MST 2P3; Telephone: 416-703-8448; Fax: 416-703-3870; E-mail: pencan@webapc.org.

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# Management Manual Proves Aimless

## Once Upon a Campus: Lessons for Improving Quality & Productivity in Higher Education

Daniel Seymour, *American Council on Education/Oryx Press, Phoenix, 1995.*  
184 pp. \$24.95 US.

By William Bruneau  
University of British Columbia

**T**HIS BOOK IS ABOUT UNIVERSITY administrators and the "improvement" of university management in the United States. The book is not, in the end, about higher education at all.

Each of Seymour's 14 chapters (entitled Lesson 1, 2, and so on), begins with a story that illustrates how simple are the answers to the problems of higher education. A

Chinese-speaking woman can't find someone to waive the prerequisite (ability to speak Chinese) for Asian Studies 229 and wanders endlessly from building to building. A young man goes through nine separate administrative steps so he can write a "challenge credit" examination in mathematics. There's a bottleneck (Lesson 4, as it happens) at the University of X; it takes seven signatures to approve a research grant application. By contrast, there's the story of the hard-working mailroom people who willingly put in extra hours after a disastrous fire.

Seymour says he hopes his book will be an "audit tool" and/or a "planning tool" that will help to solve these sorts of problems and remove obstacles to opportunity, and make American higher education productive again.

He thinks we will want to listen to him, if only because American industrial leaders want things from higher education that they are not getting (p. ix). This is all the political analysis we get in Once Upon a Campus.

Seymour's answer to the "crisis" is the application of good old-fashioned systems theory. First, Seymour says, set your direction (pp. 3-26). There is just one sensible direction — performance improvement. Next, design "processes" of management that are closely tied to that direction. By "processes," Seymour means (p. xix) course scheduling, advising, grant writing and administration, contract letting, and the like.

Be sure to build in feedback loops and performance measures so you can tell bad from good processes (good ones will ensure all activities in the organization are consistent with the agreed direction, and attendant goals and objectives). The feedback loops and the performance measures go together; a "productive" university is, by definition one where the feedback loops are full of performance measures, and the university administration is changing fast, all the time, in light of those measures (pp. 75-85).

These three components work in a tight and effective loop only if there are "enablers." Enablers are catalysts, "such as leadership and problem-solving approaches, [that] have a critical influence on the rate at which the organization creates the knowledge required to alter its practices." Enablers take performance measures in hand, and then make change happen. If there's a high dropout rate, an enabler will say, "Why shouldn't everyone pass, eventually?" Presto, the curriculum changes to allow what the public schools call "continuous progress" and "mastery learning."

Finally, Seymour suggests, the system's workability depends on personal involvement, "the degree to which individuals exercise control over their own work environment." If we applied these five elements, public support would grow, and industrialists would grow to love higher education.

Colleagues in departments of management will instantly recognize the sources of Seymour's commandments: Herbert Simon (problem solving), Frederick Taylor (scientific management), Forrester

and Laszlo (systems theory), and their descendants in the Management By Objectives and Total Quality Management movements. Although research on the "learning organization" is tremendously popular in North American business schools, Seymour's sources are no longer popular, or even in good repute.

After the rise to popularity of these various sources and movements, it was only a matter of years or months before researchers and practitioners noticed the artificiality of this abstract research on the very concrete business of...business. Human beings have histories, come from well-defined social structures, and thus have attitudes and practices which will decide the fate of organizations. By comparison, a feedback loop is a minor consideration. Seymour is asking us, then, to jump on a bandwagon that passed several years ago.

Seymour's volume, although about administration, makes useful points about the teaching and working lives of professors and instructors. On feedback, for example, Seymour tells the awful story of a young professor (pp. 109ff.) who never really knows where he's at in the tenure "process," who knows darn well he should be working with undergraduates, but is turned away from that sensible goal by the research imperatives and Performance Indicators of his institution.

Seymour is right, too, to say that we professors have a problem with our customers and clients. We like to be in charge, and so don't want to listen to our customers (whether students or future employers). We were customers ourselves, once, and have no wish to return to that status. Our behav-

iour shows that we work hardest to please journal editors and senior professors (pp. 18-22), not our true "end users." But Seymour goes to an extreme, saying that only end users matter.

On another front, Seymour is at least partly right to say that the excellence of an institution is defined "by

its ability to meet its stated aim." The difficulty is, of course, to decide what the aim should be, and who should set that aim. I think the aim should be to do whatever is required to make the university a community of open inquiry in the fundamental and applied disciplines. This means decisions about promotion and tenure, budget and curriculum, would be arrived at openly. It's just not possible to be secretive in governance, yet perfectly open in teaching and research. ■

(William Bruneau is Chair of the CAUT Ad Hoc Committee on Performance Indicators and Accountability.)

CAUT Past-President Alan Andrews is the Bookshelf page editor; facsimile: (613) 820-2417; email: andrews@ac.dal.ca.

## Quick Reviews



### Status of Women in Province-Assisted Ontario Universities & Related Institutions 1985-86 to 1994-95

Council of Ontario Universities, Toronto, 1996; 57 pp.

The Committee on the Status of Women of the Council of Ontario Universities has revised this statistical report which was produced for many years by the Ontario Ministry of Colleges and Universities. It provides a wide variety of statistical information on students, degrees awarded, full-time faculty, faculty-student comparisons, and full-time academic staff with many tables and charts.



### Adult Education & Training Survey 1992

Human Resources Development Canada, Ottawa, 1993; 105 pp.

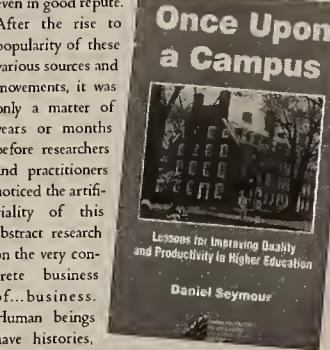
This report, which is available in both English and French, collected information on all structured employer and non-employer sponsored education and training activities, regardless of level, content or method, pursued by persons aged 17 or over. Such training is fairly extensive, and about two-thirds of it is supported by employers. The survey also shows that the higher the income, the higher the participation rate. This suggests that special mechanisms are needed to reach those with less education and less income. The slowness of publication also suggests that it might be good public policy to put all the data collected online for other researchers rather than waiting to make it available until the report is finally written and published.



### Recruitment & Support of International Students in U.K. Higher Education

Committee of Vice-Chancellors and Principals of the Universities of the United Kingdom, London, 1995; 15 pp.

This is a brief statement by the UK Vice-Chancellors on the subject. CAUT adopted a Charter for International Students in 1990, and CIEE has also been active in this field. Perhaps it is time that the CMEC, the federal Department of Immigration, and the stakeholders in this country got together and produced a formal official policy to ensure the proper treatment of international students.



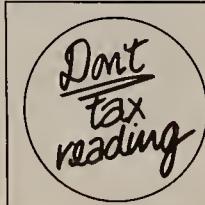
**EDUCATION 3000  
DISTINCT PEOPLES**

To solve the constitutional crisis in Canada, we need the will to do it. The break up forces exist mainly as a result of major global events (in Europe, the Middle East, South Africa, free trades, etc.), and in fact are less due to the past history of French and English Canada. The resulting global change of forces in the last decade, along with the accumulated problems in America, requires certain reflections into Canada's position in the world. The notion of French people as the only "distinct people" in Canada's constitution is an absolute concept and will not properly address the global events. We need to view "distinctiveness" from a relativistic point of view. This makes the concept dynamic. Besides French people, the other distinct people are Aboriginal, visible minorities and particularly the people of Canada who are followers of minority religions i.e. less than 30 million followers worldwide.

Based on two distinct peoples, we should be able to design powers in order to guarantee the equality of all citizens in Canada. We should be able to formally recognize the Aboriginal people of Canada and other fundamental issues in our democracy (relative to the total balance of forces).

Be a member of Education 3000, contact: Dr. Mehran Basti, 916 - 22 Beliveau Rd., Winnipeg, MB R2M 1S5.

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should be sent to: Prof. P. Cooney, Acting Chair, Department of Administrative Studies and Business Computing, The University of Winnipeg, 515 Portage Avenue, Winnipeg, Manitoba R3B 2E9. Fax: 204-636-1824.

## ANATOMY & CELL BIOLOGY

**UNIVERSITY OF SASKATCHEWAN — The Department of Anatomy and Cell Biology.** College invites applications for a tenure-track position for an Associate Faculty appointment at the rank of Assistant Professor, effective July 1, 1997. Areas of research in the Department include cell, molecular and developmental biology, cell and molecular pharmacology, and neurobiology. The applicants must have postdoctoral training and a strong research program in one or more of these areas. The appointee is expected to teach histology and would be required to teach one or more of these other areas of the discipline. Areas of research may include cell and molecular biology (cell biology, neurobiology/neuroinflammation/developmental biology). The successful candidate will instruct medical and other undergraduate life science courses and contribute to the supervision of students at various levels of research, especially. An application, curriculum vitae, names of three referees, and statement of previous teaching experience and research interests should be submitted by May 15, 1996 to Dr. Michael J. Hickey, Department of Anatomy and Cell Biology, University of Saskatchewan, 104 Wiggins Road, Saskatoon, Saskatchewan S7N 5E6 Canada. The University of Saskatchewan is committed to the principles of Employment Equity. Women, members of visible minorities, and people with disabilities are invited to identify themselves as members of these designated groups on their applications. This position has been cleared for advertising at the two-level. Applications are invited from qualified individuals regardless of their immigration status.

## ANIMAL SCIENCE

**UNIVERSITY OF ALBERTA — Department of Anthropology and Classical Studies.** Applications are invited for a tenure-track position starting September 1, 1996. The Anthropology program needs include teaching Introductory Human Evolution (first year), Archaeological Method and Theory, North American Prehistory, and the study of visible minorities, and people with disabilities are invited to identify themselves as members of these designated groups on their applications. This position has been cleared for advertising at the two-level. Applications are invited from qualified individuals regardless of their immigration status.

Want postdoctoral experience and the ability to establish a strong research program. Salary ranges: Assistant Professor, \$39,230-\$55,526; Associate Professor, \$49,716-\$69,664; and Professor, \$60,567 and up. This tenured or tenure-track position is open to all qualified candidates. In accordance with Canadian Immigration requirements, this advertisement is directed to Canadian citizens and permanent residents. The University of Waterloo encourages applications from all qualified individuals, including women, members of visible minorities, and persons with disabilities.

## ANTHROPOLOGY & CLASSICAL STUDIES

**UNIVERSITY OF WATERLOO — The Department of Anthropology and Classical Studies.** Applications are invited for a tenure-track position in the area of Archaeology and Cultural Anthropology and courses on Canadian Prehistory. This position will be a definite asset. In Classical Studies the successful candidate will be expected to teach Introductory Latin, Latin as a survey course in the history and culture of Greece and Rome, and elementary to intermediate-level courses in Greek and/or Latin. Opportunities also exist for specialized instruction in ancient history, art and architecture. We are looking for an excellent scholar who can contribute in a variety of ways to a small undergraduate department. Research area is open, but the person must have a active program with publications or potential publications. The successful candidate must have qualifications and experience. Applications should contain their CV and arrange for at least three referees to send letters of reference directly to Prof. R.L. Fowler, Chair Department of Classical Studies, Waterloo, Ontario, N2L 3G1, Canada. On-line applications are welcome. Closing date is May 31, 1996. In accordance with Canadian Immigration requirements, this advertisement is directed to Canadian citizens and permanent residents. The University of Waterloo encourages applications from all qualified individuals, including Aboriginal peoples, persons with disabilities, and members of visible minorities.

and permanent residents. The University of Waterloo encourages applications from all qualified individuals, including women, members of visible minorities, native peoples, and persons with disabilities. This appointment is subject to the availability of funds. It is the intention of the University of Waterloo to fill its vacancies with recent PhD graduate appointed as Assistant Professor wherever possible.

## BIOCHEMISTRY

**THE UNIVERSITY OF ALBERTA — Department of Biochemistry.** Postdoctoral Positions in Protein-Peptide Chemistry, Protein Structure-Function, and Molecular Biology. One or more positions available immediately in the Department of Biochemistry at the University of Alberta in Edmonton. We require self-motivated individuals with PhD degrees in organic chemistry or biochemistry, and a desire to work in one or more of the following areas: immunology, protein chemistry, protein structure and function or striated muscle biochemistry/biology. The successful candidate will instruct medical and other undergraduate life science courses and contribute to the supervision of students at various levels of research, especially.

An application, curriculum vitae, names of three referees, and statement of previous teaching experience applied to bacterial infections disease, the use of synthetic peptide mimics of metalloproteins to probe the structure and function relationships in metalloproteins, and synthesis of new drugs (sheet metal, metal peptides and proteins). Excellent facilities including dedicated technical assistance are available. Excellent opportunities exist for interactions with other scientists at the MRC Group in Protein Structure and Function, and the Protein Engineering Network Centre of Excellence.

Interested candidates are invited to send their resume to Dr. Robert Hodges, Department of Biochemistry, University of Alberta, 11622 82 Avenue, Edmonton, Alberta T6G 2C2, Canada. Tel: 403-492-2758; Fax: 403-492-0995; e-mail: robert.hodges@ualberta.ca. The University of Alberta is committed to the principle of equity in employment. As an employer we welcome diversity in the workplace and encourage applications from all qualified individuals, including Aboriginal peoples, persons with disabilities, and members of visible minorities.

minimum being the maximum required for the position. Salary will reflect qualifications and experience in accordance with the Collective Agreement governing faculty and Memorial University of Newfoundland. The closing date is May 15, 1996 or when the position is filled. Both posts are subject to final budgetary approval. A letter of application accompanied by a curriculum vitae, teaching dossier, and the names of three referees, should be submitted to: Dr. Georg Gunther, Vice-Principal (Academic), Grenfell Campus, Memorial University of Newfoundland, Corner Brook, NF A2H 6P9. Fax: (709) 637-6390. Memorial University is committed to employment equity. In accordance with Canadian Immigration regulations, this advertisement is directed to Canadian citizens and permanent residents of Canada.

## BUSINESS

**UNIVERSITY OF MANITOBA — Faculty of Management.** Applications are invited for tenure-track positions in the areas of (i) accounting and (ii) finance with one position available in financial accounting and two in accounting. Positions are subject to budget approval. Applications should be submitted to Dr. Michael J. G. Smith, Department of Accounting and Finance, University of Manitoba, Winnipeg, Manitoba, R3T 3V6. Evaluation of applications will commence after May 15, 1996.

## BUSINESS ADMINISTRATION

**LAKESHORE UNIVERSITY — The Faculty of Business Administration** at Lakeshore University invites applications for tenure-track or tenured faculty positions in the areas of finance, finance/accounting, and information systems. Applicants should have completed or be nearing completion of a PhD. The successful candidates are expected to teach and develop undergraduate and graduate courses, and to conduct research in their area of specialty. Appointments will be made at the rank of Assistant Professor and will commence on August 1, 1996 or January 1, 1997. Applications from tenured faculty positions will also be considered. These appointments are subject to final budgetary approval. Interested applicants should send a curriculum vitae, and the names and addresses of three referees to: Dr. Bahram Dogarzai, Dean, Faculty of Business Administration, Lakeshore University, 100 University Bay, Ontario, Canada P1R 5E1. In accordance with Canadian Immigration regulations, this advertisement is directed to Canadian citizens and permanent residents. The University of Manitoba is committed to employment equity and encourages applications from women, members of visible minorities, Aboriginal peoples, and persons with disabilities.

## BIOLOGY

**MEMORIAL UNIVERSITY OF NEWFOUNDLAND — Sir Wilfred Grenfell College, Biology.** Sir Wilfred Grenfell College invites applications for a tenure-track and a two-year contractual position in Biology. The successful candidate will be expected to teach introductory and advanced courses in the field of biology and to conduct research in the field of ecology. Applications should be submitted to Dr. Robert Hodges, Department of Biology, Sir Wilfred Grenfell College, St. John's, Newfoundland, A1B 3X7, Canada. Tel: 709-753-2758; Fax: 709-753-0995; e-mail: robert.hodges@ualberta.ca. The University of Alberta is committed to the principle of equity in employment. As an employer we welcome diversity in the workplace and encourage applications from all qualified individuals, including Aboriginal peoples, persons with disabilities, and members of visible minorities.

## BIOLOGY

**NSERC Research Chair in Oenology and Viticulture**

A chair in oenology and viticulture is to be established at Brock University under the Natural Sciences and Engineering Research Council of Canada (NSERC)/ University Research Chair program. The partners are from different segments of the Canadian grape and wine industry. Brock University is located in the Niagara Region, Canada's premier grape-growing and wine-producing area.

This is part of a major initiative between the grape and wine industry and Brock University. Other components of the initiative include formation of the Coll Climate Oenology and Viticulture Institute, the offering of a new B.Sc. (Hon) program in oenology and viticulture, and formation of a research consortium to help organize and build on existing research strengths with the grape and wine industry.

The incumbent will be expected to provide strong leadership in research in oenology and viticulture and will be a part of the Biotechnology research and teaching group based in the Departments of Biological Sciences and Chemistry. The appointment will be made at a tenure-track, senior level in any area of oenology and viticulture. The successful candidate will have a strong record of success in relevant research and must be prepared to make him or herself thoroughly familiar with the major research concerns of the cool climate grape and wine industries in Canada. He or she will also be expected to acquire research funds from NSERC or other funding agencies as well as Industrial research support. The position is subject to final budgetary approval and receipt of support from NSERC.

Brock University welcomes all qualified applicants to send curriculum vitae, names and addresses of at least three referees, copies of representative publications, and a description of current research interests to:

**M.S. Manocha, Director**  
Cool Climate Oenology & Viticulture Institute  
Office of the Dean, Faculty of Mathematics and Science  
Brock University  
St. Catharines, ON L2S 3A1 Canada

Closing date is **July 31, 1996**. This advertisement is directed to the first instance to Canadian citizens or individuals who have permanent residency in Canada in accordance with Canadian immigration requirements. Brock University is an Equal Opportunity Employer.

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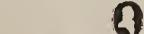
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## BROCK UNIVERSITY



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L'autonomie grâce à l'alphabétisation dans le monde en développement.

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## FOR RENT

**OUT OF COUNTRY — South France** furnished farmhouse 5 b 2 baths. Rent short long term. Waterfront furnished studio on Mediterranean Sea Tel: 33 69 61501.

## ANNONCES CLASSÉES

### CHEMISTRY

**TRENT UNIVERSITY** — Subject to the approval of NSERC and budgetary approval, Trent University seeks candidates for a probationary appointment, effective September 1, 1996. The successful candidate will collaborate with Dr. Don MacKay, holder of the Trent-NSERC Chemical Industry Chair for Environmental Modelling. Salary will be commensurate with qualifications and experience. Qualifications: PhD in Environmental Chemistry with research emphasis on the fate of organic and/or metal contaminants. The successful candidate will have experience in analytical instrumental chemistry, as well as basic courses in Organic or Inorganic Chemistry. Candidates must not currently hold full-time faculty positions. A full description of the position and a list of three referees who have been asked to write on the candidate's behalf are to be sent to: Dr. Paul F. Healy, Associate Dean of Research, Trent University, Peterborough, Ontario K9J 7B8 by May 31, 1996. Trent University is an employer equity employer. Women, Aboriginal peoples, visible minorities and disabled persons are encouraged to apply.

### CLASSICAL STUDIES

**UNIVERSITY OF WATERLOO** — The Department of Classical Studies seeks applications for a tenure-track position beginning in September 1996. The successful candidate will be expected to teach Latin and Greek, and to engage in research with Canadian immigration requirements, the advertisement is directed to Canadian citizens and permanent residents. A full description of the position and a list of three referees who have been asked to write on the candidate's behalf are to be sent to: Dr. Paul F. Healy, Associate Dean of Research, Trent University, Peterborough, Ontario K9J 7B8 by May 31, 1996. Trent University is an employer equity employer. Women, Aboriginal peoples, visible minorities and disabled persons are encouraged to apply.

### COPUTER SCIENCE

**UNIVERSITY OF NEW BRUNSWICK** — The Faculty of Computer Science, University of New Brunswick, invites applications for a tenure-track appointment at the Assistant Professor level.

Beginning September 1, 1996 or January 1, 1997, salary will depend upon the qualifications and experience of the successful applicant who is expected to have a PhD degree and a record of accomplishment in teaching and research. Faculty at both the graduate and undergraduate levels with primary interests in Software Engineering. The candidate should have research experience and/or interest in one of the following areas: Object-Oriented Analysis, Data Mining Methods, Visual Analysis, C/C++, and Visual Basic; Reverse Software Engineering. Applicants must be prepared to actively pursue research and support graduate students in one or more of the above areas. Faculty members with MSc and PhD degrees and 22 faculty positions with 550 undergraduates and 60 graduate students. The University of New Brunswick is committed to making its environment an equal opportunity employer. Applications in French and English, and Greek and Latin languages, both on campus and by distance education, are open, but the person must have an active program with publication in English. Send resume, names of three referees, and a statement of qualifications to: Dr. D.W. Daws, Watson Institute for Computer Science, University of New Brunswick, P.O. Box 4466, Fredericton, NB E3B 5A3, Phone: (506) 453-4565; Fax: (506) 453-3565. E-mail: dwd@unb.ca. Closing date for application: June 30, 1996.

**TECHNICAL UNIVERSITY OF NOVA SCOTIA — Computer Science**, Applications are invited for faculty positions in the School of Computer Science of the Technical University of Nova Scotia. Rank and salary are open, commensurate with qualifications and experience. A PhD is required with evidence of excellence in teaching and research. Duties will include teaching at the undergraduate, M.Sc. and PhD level. The School offers an accredited master's program and a computer science program. Computer Science in Nova Scotia applicants are primarily sought in the areas of software engineering, telecommunications and its applications, distributed systems and parallel computing, microprocessor and interface design. The Halifax metropolitan area has a population of close to 300,000, its centre of gravity is life. Applications, including a curriculum vitae and names and addresses of three referees, will

be accepted until the position is filled, and should be submitted to the Director, School of Computer Science, Technical University of Nova Scotia, 1367 Lakeshore Road, Halifax, Nova Scotia B3H 2W5. Appointments are subject to final budgetary approval. In accordance with Canadian Immigration requirements, priority will be given to Canadian citizens and permanent residents. The University of Nova Scotia is committed to the principles of employment equity and encourages applications from all qualified persons, including women, Aboriginal peoples, people with disabilities and visible minorities.

Immigration requirements: priority will be given to Canadian citizens and permanent residents. Positions should have a PhD (completed or near completed) and a strong interest in teaching introductory and upper level undergraduate courses, and would be suitable for part-time positions. Preferred: prior teaching experience is desirable. Fields of special interest: Money & Banking, International Finance, Public finance and Development. Candidates, however, with interest and qualifications in other areas are encouraged to apply. Applicants are invited to forward a letter of application and curriculum vitae to: Dr. Saleh Amirkhalilchi, Chair, Department of Economics, Saint Mary's University, Halifax, Nova Scotia B3H 3C5, Canada. Persons they should address their application to: (3) references to Dr. Luigi Giorgio, Chairman, Department of Computer Science, University of Ottawa, Ottawa, Ontario K1N 6H6.

### DENTISTRY

**UNIVERSITY OF MANITOBA — Pediatric Dentistry Faculty Position**, Faculty of Dentistry. Applications are invited for a full-time, tenure track faculty position at the rank of Assistant Professor effective July 1, 1996. Responsibilities include supervision of dental and medical undergraduate teaching in pediatric dentistry, research and service. Applicants must have completed a North America accredited graduate program in pediatric dentistry. Private practice privileges, extra time for research and teaching, and a competitive salary will be considered. Salary will be commensurate with qualifications and experience. The University of Manitoba encloses application forms for qualified women and men, including Aboriginal peoples, visible minorities, and persons with disabilities.

**UNIVERSITY OF ALBERTA**, Edmonton — The Department of Rural Economy, one of four departments in the Faculty of Agriculture, Forestry and Home Economics, University of Alberta, Edmonton, AB T6G 2H1, invites an Assistant Professor female to teach position in Resource Economics. Qualifications are PhD in economics or agri cultural economics, specializing in natural resource or environmental economics. The Assistant Professor rank is equivalent to 1.0 to 1.5 FTE. This position is available July 1, 1996. In accordance with Canadian Immigration requirements, this advertisement is directed to Canadian citizens and permanent residents. Applications, including a curriculum vitae and the names of three referees should be sent to: Michele Veeman, Chair, Department of Rural Economy, University of Alberta, Edmonton, Alberta T6G 2H1 by June 15, 1996. The University of Alberta is committed to the principle of equity in employment. An equal opportunity employer, we welcome diversity in the workplace and encourage applications from all qualified women and men, including Aboriginal peoples, persons with disabilities, and members of visible minorities.

Professor rate, commencing September 1st, 1996, and subject to budgetary approval. Applications for professorial positions should have a PhD (completed or near completed) and a strong interest in teaching introductory and upper level undergraduate courses, and would be suitable for part-time positions. Preferred: prior teaching experience is desirable. Fields of special interest: Money & Banking, International Finance, Public finance and Development. Candidates, however, with interest and qualifications in other areas are encouraged to apply. Applicants are invited to forward a letter of application and curriculum vitae to: Dr. Saleh Amirkhalilchi, Chair, Department of Economics, Saint Mary's University, Halifax, Nova Scotia B3H 3C5, Canada. Persons they should address their application to: (3) references to Dr. Luigi Giorgio, Chairman, Department of Computer Science, University of Ottawa, Ottawa, Ontario K1N 6H6.

### EARTH SCIENCE

**THE UNIVERSITY OF CALGARY** — Departments of Geography, Geology and Geophysics and Earth Sciences are seeking applications for a tenure-track teaching position at the assistant professor level.

The position is for teaching in French or English, but bilingual would be an asset.

Qualifications: A PhD is required for this position.

Applications are invited for a tenure-track teaching position at the assistant professor level.

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## **Afterword ■ Conclusion**

# **The Down Side of Downsizing**

IN THE LAST FEW MONTHS there has been vigorous debate in the Canadian and American press about the merits and effects of corporate downsizing. Just as doubts begin to creep in among businessmen, some academic administrators have begun to burn with a zeal to emulate the most brutal of the cutters.

Even *The Globe and Mail* has discovered that downsizing has its costs. It noted that a survey by the American Management Association found that among 700 companies that had downsized, productivity rose in 34 per cent of the cases — but it fell in 30 per cent. In 83 per cent of the cases employee morale declined.

It cited the downsizing of Petrocan where one long-serving and loyal employee noted: "...downsizings also hurt the company...because the people left behind lose the incentive to go the extra mile for their employer. A lot of people used to think that job security came from being a quality performer. When they see stuff like that happen, they start to realize that the quality of your performance doesn't matter."

A recent book by Frederick Reichfield, entitled *The Loyalty Effect*, had the same message. "No one," he writes, "ever thought about measuring defects in a plant until after the Second World War. Now you can't find a manufacturing facility without statistical process control." However, he argues, in their zeal for accounting numbers and statistical analysis, business has lost sight of the importance of employee loyalty.

"They've built intricate cost-accounting systems to measure productivity, but almost all of them apply to inanimate objects rather than to the human assets that ultimately drive a business." Unmotivated work forces, he suggests, will not go the extra mile to win over customers and gain a competitive edge.

*The Guardian* in the United Kingdom has focused attention recently on economists such as Robert Putnam at Princeton and Douglass North, a Nobel-prize winner at Washington University in St. Louis who argue that social capital is an essential ingredient in economic growth.

By this they mean rich traditions of civic action groups, trade unions, clubs and associations and that the need for quality and innovation requires an integrity of relationships between the workforce, suppliers and financiers. The sourness and lack of trust created by downsizing may have, they suggest, longer term effects that are more serious than the short-term financial gain.

It is clear that Pat Buchanan in the United States touched a nerve, even in the Republican Party, with his vigorous attacks on an uncaring and selfish corporate America. It will be interesting to see if anyone in Canada tries to tap the same vein and with what results. David Lewis, where are you? ■

## **L'envers de la rationalisation**

DEPUIS QUELQUES MOIS, les mérites et les effets de la rationalisation font couler beaucoup d'encre dans la presse canadienne et américaine. Alors que les gens d'affaires commencent à douter de son bien-fondé, les administrateurs universitaires réduisent allègrement leurs effectifs.

*The Globe and Mail* a même publié les résultats d'une enquête américaine auprès de 700 compagnies révélant que la rationalisation a fait hausser et diminuer la productivité à peu près dans les mêmes proportions.

Dans son dernier ouvrage intitulé *The Loyalty Effect*, Frederick Reichfield constate que les entreprises ont perdu de vue l'importance de la loyauté chez leurs employés en se lançant aveuglément dans l'analyse statistique et le calcul. Elles ont mis au point des méthodes compliquées d'évaluation de la productivité qu'elles ont appliquées à des objets plutôt qu'aux êtres humains, les moteurs de l'entreprise.

Le capital social est un ingrédient essentiel de la croissance économique. La qualité et l'innovation passent par l'intégrité des rapports entre la main-d'œuvre, les fournisseurs et les financiers. L'absence de confiance découlant de la rationalisation peut avoir des effets à long terme plus graves que les gains pécuniaires à court terme. ■